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ABSTRACT

This monograph offers leadership approaches for school principals. Discussion applies the business leadership theory of Warren Bennis and Burt Nanus to the role of the principal. Each of the booklet's three parts concludes with discussion questions. Part 1, "Visions and Values for the Provident Principal," demonstrates the importance of understanding personal values and their influence upon future vision. A study by Arnold Mitchell is reconstructed into a "values and lifestyle" typology with four personal characteristics: need-driven, outer-directed, inner-directed, and integrated. Values as determinants in innovative decisionmaking are analyzed in terms of principles of change, types of innovations, and the relationship of values and lifestyle categories to types of innovations. Future educational trends and principals' responsibilities are interpreted. Part 2, "The Seven Intellectual Competencies in Vision," outlines the new theory of "multiple intelligences" as devised by Howard Gardner. This theory outlines seven intellectual competencies that will help principals understand the potentials of their students. These competencies are: linguistic, musical, logical-mathematical, spatial, bodily-kinesthetic, interpersonal, and intrapersonal intelligence. Part 3 deals with "The Seven Tools of Vision for Principals," which comprise the following areas: delaying gratification, responsibility, dedication to reality, balancing, proper use of power and authority, love, and emotional wisdom. Fifteen theoretical references conclude the report. (CJH)

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THE PROVIDENT PRINCIPAL

John R. McCall

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FOREWORD

The Provident Principal grew out of a series of lectures that Jack McCall gave in the Principals' Executive Program. The first concerned value systems of the principal and his or her faculty—how values are acquired, how they affect decisions and performance, and how they change. The second lecture was based on Scott Peck's book *The Road Less Traveled.* It considered the difficult issues of self-discipline and the use of power by the principal. The final lecture dealt with the concept of a principal's vision, which drew largely from the book *Leaders* by Warren Bennis and Burt Nanus. In teaching these subjects over the past two years in the PEP program, Jack was able to tie the three lectures together with a common theme of leadership for the "provident principal"—a principal who looks ahead in helping his or her students and faculty become the best that they can become. The result is this new book for North Carolina principals.

A member of the Principals' Executive Program's advisory board, Jack is a master teacher. He is one of those rare people who can reach every individual in the classroom, no matter what the person's background, value system, or understanding of the subject may be. And *The Provident Principal* is pure Jack McCall. It communicates in a written form the way Jack communicates in the classroom. I know this book will prove as valuable to you in the reading as Jack's lectures have been to PEP principals in the listening. We are indebted to him for this gem.

Robert Phay, Program Director
Principals' Executive Program

Chapel Hill, North Carolina
Summer 1986

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INTRODUCTION

This booklet is written for principals of schools K through 12. It could be helpful to assistant principals as well, since many assistant principals through inadvertence become principals. This is not a "How To Do It" book. Instead, it is a practical effort aimed at helping principals be the best leaders they can become.

The State of North Carolina has instituted a program for the state's 2,000 public school principals. PEP (the Principal's Executive Program) is held under the able direction of Robert Phay at the Institute of Government, The University of North Carolina at Chapel Hill. For the last three years I have counted myself fortunate to be an instructor in this excellent program.

One cannot spend long hours with public school principals, as I have, without picking up some valuable insights. I hope to share them with you in this volume.

I will be using materials from a variety of fine writers whom I will acknowledge. But the main vein of gold running through the booklet will be the new theory of leadership presented by Warren Bennis and Burt Nanus in their book titled *Leaders, The Strategies for Taking Charge.* Although Bennis and Nanus are speaking about business leaders, their ideas can be applied to principals as leaders.

Now why did I use the title *The Provident Principal?* The main thrust of our theory of leadership centers around the concept of Vision. Education, like every other pursuit in our world, is undergoing profound questioning and changes. Principals cannot be "storeminders doing business as usual." Because of the rapid change in their profession, all principals are called on to assume responsibilities for reshaping organizational practices to adapt to psychosocial changes. To put the matter concretely, twelve-year-olds today are not like twelve-year-olds in 1952. Their parents are not like parents in 1952. Teachers today aren't like teachers in 1952—and, incidentally, neither are principals. Most of all, cities, schools, families, neighborhoods, and churches are very different from what

they were at mid-century. Change has come. Principals must be "change masters."

Principals are leaders who direct organizational changes that build confidence and enable teachers, staff, students, and parents to seek new ways of doing things. Good principals overcome resistance to change by creating visions of the future that evoke confidence in themselves and others to master new organizational practices. Our future may be uncertain and even unsettling, but it need not be without a vision. Vision is the chief commodity of principals. I call this book *The Provident Principal* because the word provident seems to epitomize the main function of a principal during this last decade of the twentieth century. The dictionary says that provident means "anticipating and making ready for future wants; wise." I think that a principal with a clear vision and the wise judgment to implement this vision will be the type of provident principal we all want to become.

Like Gaul, this booklet is divided into three parts. Part 1 covers *Vision and Values.* It is aimed at helping principals to understand more about themselves and their values and how these influence the vision they have of the future. We could say this part involves efforts to help the principal understand and manage himself or herself and others.

Part 2 deals with *The Seven Intellectual Competencies* as outlined in the new theory of Multiple Intelligences. All changes in educational vision will ultimately have to take into account our concept of the educative process. New research on the brain indicates that our view of intelligence in the past may have been too narrow and circumscribed.

Part 3 treats of *The Six Tools of Vision.* Without these, no vision becomes a reality. If there is "a commitment gap" in our country, it may be that all of us, principals especially, will have to spend more time on these tools of vision—Delaying Gratification, Responsibility, Dedication to Reality, Balancing, Love, and the Constructive use of Authority and Power.

I dedicate this booklet to the participants in the North Carolina Principals' Executive Program, their leader Robert Phay, and his able staff at the Institute of Government.

PART 1.

Vision and Values for the Provident Principal

Ray Kroc, who revolutionized the fast-food industry with McDonald's hamburgers, said, "If I had a brick for every time I've repeated the phrase Q.S.C.&V.(Quality, Service, Cleanliness, and Value), I could probably bridge the Atlantic Ocean with them." Since the early days, all McDonald's stores have been regularly measured on their performance in these categories. The rating he gets on Q.S.C.&V. standards determines the restaurant manager's compensation. If a manager consistently fails to meet these standards, he is fired and that franchise may be revoked—which is in good part why McDonald's restaurants usually rate high on Q.S.C.&V. Have you ever been greeted with poor service, dirty surroundings, inferior products, and a rip-off price at McDonald's? Probably not. Personally, I am not a fan of McDonald's products, but I cannot fault the chain on its performance along the lines it set for itself. It has a *credo*, and it lives up to it. To put it another way, Ray Kroc had a vision of a hamburger chain that would catch on in this country. He was able to communicate this vision to not just a few but many people. He knew how to transmit the values and norms that construct the binding and bonding within an organization. Even today, after Ray Kroc's death, McDonald's still hires young managers who catch the spirit. They put in countless hours training entry-level (minimum wage) employees to keep a clean restaurant, give good service, prepare high-quality food, and sell it at a bargain value. I don't like what they serve, but millions do. I do like the way Ray Kroc created a vision and made it come to life. I would give anything to be able to help principals learn how to move their schools from current to future states by creating a vision of potential opportunities for their schools. I would love to teach them how to instill within their teachers, staff,

pupils, and parents a commitment to change—and how to instill new cultures and strategies in schools that will mobilize and focus the energy of all the members.

We are at a critical point in our nation's history. Restructuring each of our schools so it can meet the needs of the next decade and the next century may well have the highest priority. If that is so, it would certainly seem to be worth our while to help the 85,000 principals and 35,000 assistant principals in this country to be the most effective and efficient leaders they can become. There may be a higher priority at this time, but I can't think what it might be. At least there is no higher priority for me, because I believe the 120,000 principals of our schools are the most influential gatekeepers in our society. They have the opportunity to profoundly influence the lives of our young people in K through 12 for more hours a week than any other agency except the family or (for some) the mass media. They can also exert a tremendous influence on the parents of the school children. The workers between 25 and 50 years of age in this country who have children in school are greatly influenced by the values of the principals who direct their children's schools.

Throughout this booklet you will be reading seminal ideas that I have garnered from an excellent book titled *Leaders--The Strategies for Taking Charge,* by Warren Bennis and Burt Nanus. These authors talk about the four keys of effective leadership. I will try to adapt their ideas for principals, adding insights that I have gained in working with the Principals' Executive Program at the Institute of Government, The University of North Carolina at Chapel Hill.

According to Bennis and Nanus, the four keys to effective leadership are the following:

(1) Attention through vision
(2) Meaning through communication
(3) Trust through positioning
(4) The deployment of self through (a) positive self-regard and (b) the Wallenda factor.

Each of the four keys will be explained and adapted to the situation of the principal or assistant principal in his or her school setting.

First, we will discuss the way knowledge of one's own values and

the ability to help others to restructure their values is essential to the principal's role.

Should the Provident Principal Be a Teacher First, or a Manager First?

Dr. Robert Houston, Associate Dean of the University of Houston's College of Education, recently released a study titled *Mirrors of Excellence,* which is based on teachers' research into how successful organizations are run. In it, he advanced the notion that principals "should be teachers first and administrators second."

On the other hand, Chester E. Finn, U.S. Assistant Secretary of Education for Educational Research and Improvement, maintains that school principals should be good managers rather than good teachers.

What do you think? Should a principal be primarily a teacher or primarily a manager? It would be fascinating to pursue this topic, but that might not do much to advance our goal—teaching principals to be efficient and effective leaders. I have always believed that good teachers probably could make the switch to management without too much trouble, and I am convinced that all top managers are good teachers. What good managers and good teachers have in common, among other things, is the ability to create an appropriate vision of the future—for a classroom group, a school, or a company. They have the magic that helps people align themselves in achieving this vision. They can get the people to align because they can communicate meaning to them. People are always looking for someone to help them make sense of the experiences in their lives. Good managers and good teachers become social architects. Social architects understand their organizations—classroom, school, company—and can shape the way these entities work. Social architects are able to create with people a kind of organization that just seems able to do what it was set up to do. They actually help the organization to realize its vision. Good managers and good teachers seem able to find a niche for their class, school, or company. By this we mean that they acknowledge the fact that one can't do all things or

be all things to all men, so they work out a vision that is modestly realistic. In the language of business, they position themselves in the market. They position their classroom, school, or company correctly in the outside world. Finally, good managers and good teachers are able to motivate all their followers to join them in organizational learning.

What Part Do Values Play in the Principal's Vision?

Much of Ray Kroc's success in running McDonald's restaurants came down to his conviction that America was ready for a fast-food chain that would consistently produce quality, service, cleanliness, and value. In this case his fourth ingredient is Value. Here, value means a dollar's worth of good food for a dollar spent. Actually, all four of these ingredients are values: Quality as a value means food products of top grade. Service as a value means that the customer's needs are taken care of and the customer is put first in all decisions. Cleanliness as a value is obvious. It means that the restaurant is free of dirt, debris, and contamination and receives the highest ratings from the health department. Mr. Kroc's credo included these four values—a credo still taught to each and every employee at McDonald's, from the lowest to the highest, youngest to the oldest, novice to veteran. Mr. Kroc became a social architect who understood his restaurants and their organization. He was able to shape the way they work so well that he could franchise the whole package and see it succeed all over the world. If you go into a McDonald's in Tokyo, you will be greeted with a smile and be assured of receiving quality, service, cleanliness, and value.

Social architecture is an intangible, yet it is most important for a successful principal or any other leader, entrepreneur, or super-manager who governs the values and norms that shape and form organizations. Great leaders like Ray Kroc know how to transmit the values and norms to their employees. They know how to bring about a binding and bonding in their organizations. Provident principals also have their own values and norms, and they know how to transmit

these to the stakeholders in the school. The provident principal communicates to teachers, staff, pupils, and parents a vision that includes a set of values that are the most important determiners of the direction the school will take. In your own life you know that your values shape your choices and actions. If you place a high value on sport fishing, you most certainly aim to spend a lot of time, energy, money, effort, planning, and enjoyment around that sport. You probably subscribe to fishing magazines. You buy the latest tackle box and tie the most interesting lures. You fish a lot—at least you dream of it.

Take a minute and try to write down some of the values you have as a principal. If you are aspiring to be a principal, write down the values you would like to inculcate in shaping and forming the school you will one day direct.

As a principal, you see the need to have a vision for the future of your school. You realize that because the values of your society are changing, the school you lead in the 1990s will be different in many ways from your school at present. If the school will have to change in order to be ready for the contingencies of the 1990s, how will you bring that change about? More and more people are realizing that organizations change only as their cultures change. When a company or agency changes to meet the challenges of the future or for any other reason, the employees begin to see a change in the values and norms that shape behavior in the organization. The leader's vision containing these new norms and values begins to influence all the stakeholders' behavior—including their thinking, feeling, dreaming, and interacting. Of course these value and norm changes have to be accepted and incorporated into the lives of the employees; otherwise, nothing happens. A great leader—a great principal—has this capacity to be a social architect—one who can change the shape and form of an organization of people in the same way that a landscape architect changes the outside and a building architect changes the inside shape and form of a piece of land and a building. The provident principal as a social architect gives a new meaning to the organizational life of a school.

I realize that the term social architect is difficult to explain, but it is worth the effort. In any case, it is the principal's values and

norms embodied in a viable vision that give meaning to the changing school and begin to direct it into the future along a certain compass bearing. Although most people are semiresistant to change in general, they are most susceptible to fresh meaning and new directions when these can be grasped and shared by the group. Teachers, staff, pupils, and parents have to overcome the inertia of laziness, but most of them are grateful when they are caught up in a new vision and feel they have a deeper meaning to their lives and a purpose to their work. A provident principal shares this vision and starts the sparks that can lead to meaningful, creative, enriching change.

We will spend some time discussing the place of values in the principal's vision with the hope that this study of values will provide some practical helps for principals in the formation and transmission of their vision.

My interest in values started in the middle sixties, when I was teaching psychology at a university in Boston. Those years were times of great turbulence, and young people were beginning to question the legitimacy of all organizational structures and all types of authority. There were student protests, riots, bomb threats, sit-ins, etc. Around Boston a man named Sidney Simon became the Pied Piper, with his new ideas on values clarification. Simon collaborated with Leland W. Howe and Howard Kirschenbaum on a book titled *Values Clarification: A Handbook of Practical Strategies for Teachers and Students.* I still have the book and realize how far things have come since those naive days. Simon was really preaching against moralizing, which he defined as the direct although sometimes subtle inculcation of the adults' values on the young. He was opposed, as well he might be, to the tendency of parents to impose their values on their children. He noted that young people brought up by moralizing adults who force their "ready-made" values on them are often unprepared to make their own responsible choices in the future. Simon did not believe that parents and adults should adopt the other extreme—a laissez-faire attitude toward the transmission of values: Let the children do and think what they want. Although he believed that no single value system was right for everyone and each person had to forge his or her own set of values, Simon wisely added that

though children may not need adults running their lives for them, they do want and need help from adults. Here is where he introduced the idea of modeling. Adults should present themselves as attractive models who live by a certain set of values. The young people who come in contact with such adult models will be impressed and will want to adopt their values. Although the parent who models "good values" is the most powerful influence for good in our society, the young person in a pluralistic society is simultaneously exposed to many other models—movie and TV stars, rock stars, sports figures, neighborhood heroes, corporate and government leaders.

Sidney Simon introduced his concept of values clarification as a technique or strategy to help young people sift out the good values from the bad values and come up with their own values system. His examples and strategies are most interesting and intriguing. Why, then, have so many school systems been bombarded by critics who insist that values-clarification exercises have no place in the schools. Ultimately, the good that might come from the study of values has been diminished by the fact that most approaches to value study leave themselves open to the charge of being "relativistic." They seem to deny not only the reality but also even the possibility of objective and absolute values that could be held up for all. Implicitly in Simon's work and in most approaches to values is the assumption that no value in and by itself is better than any other value. So a noble experiment started in the sixties slowly died because it was open to misunderstanding and misuse. I began to sense the difficulties even then. Yet I was unwilling to give up on the idea of values. Instead, I moved to a different source—the Stanford Research Institute (SRI) in Menlo Park, California, which was embarking on a study of values for a totally different purpose.

In the early sixties, this very prestigious research group in California set out to diagnose and forecast over the next twenty-five years the major changes in the values held by Americans. They wanted to provide a framework within which to categorize values typically held by groups of Americans. Next they wanted to forecast shifts in value patterns and qualities from 1965 to 1990. The purpose of their ambitious study was to explore the implications of these

value shifts in terms of spending patterns, characteristics of products and services, trends in management, and various social parameters.

Let us go back to the sixties and see how this study was conducted. The SRI study defined values in the loosest possible manner. To SRI, values meant a constellation of likes, dislikes, viewpoints, shoulds, shouldn'ts, inner inclinations, rational and irrational judgments, prejudices, and other invervening variables that define a person's view of the world. Granted that this is not a very scientific definition, it was used as a working definition to avoid getting into theoretical differences of opinion that might hold up the study.

SRI further refined values into three classes: core values, intermediate values, and outermost values. Core values are limited in number and are highly central, permeating, less conscious, deeply held, hard-to-analyze basic beliefs of persons. For a Muslim, a core value would be the acceptance of the faith of Islam, with all that it includes and demands. An intermediate value like intellectualism overlaps and refines some portion of a central value. In the case of a Muslim who holds for intellectualism, you would probably find him doing scholarly work on the Koran. A peripheral or outermost value such as an inclination to choose one type of car or toothpaste has far less significance, since it has only a very weak connection with the core values.

When defined in this way, core values penetrate into every aspect of a person—from his concept of justice to his view of success, his perceptions of his needs, his desires for the future, his preference for self-expression. There is a debate about the origin of core values. The SRI study claims that our core values are not innate. I agree that the vast majority of them evolve from actual or imagined experiences, reflecting upbringing, education, ideology, world events, personality and intellectual sets, community attitudes, social class, income, and many other factors. However, I lean toward the idea that a few of our core values may be passed on from ancestors and certain others result from a spiritual experience. In my belief system, God usually touches his people through ordinary human experiences, but I don't see why God may not at times directly touch a person in his or her core values and bring about conversion or change. For the sake

of this study, we can prescind from the debate on the origin of core values. We will stick with the ones defined in the SRI study.

Values do not occur in isolation. They tend to cluster. If this were not true, we couldn't group people and put them into types. We couldn't talk about "inner directed" people, or of status drives, or of the culture of poverty, because each of these is based not on a single core value but on a pattern of values—a family of psychological characteristics. Core values usually hang together, creating a kind of uniform whole.

The SRI study assumes that values tend to cluster about people's fundamental needs. Needs breed values by dictating what is important. For example, the man dominated by a need for *fame* will hold different values and behave differently from the man whose principal need is to be accepted as an *equal.* The SRI study adopted Maslow's needs hierarchy as a model for identifying and characterizing the five basic value patterns held by Americans. You remember that Maslow's hierarchy provided a good framework for forecasting because it viewed human beings as a whole. Further, it suggested that change is not random and assumed that the change is upward. Each of Maslow's five needs categories is presumed to be value-free in itself. Yet each category tends to be strongly associated with fairly specific patterns of values. In Maslow's theory, all human beings share certain basic needs. All other needs fall under one or another of these basic five. Maslow listed the five need levels, starting with those most basic for survival and ending with the needs that when fulfilled are most self-fulfilling and self-enhancing—security or safety, belongingness and love, esteem, and growth or self-actualization.

Now for the results. The SRI study made some astonishing predictions. It predicted that from 1965 to 1990 the driving inner needs and values of Americans would move swiftly toward self-esteem and self-actualization and away from predominant concern with survival or a sense of belonging. It also foretold a richly diverse society more oriented to the individual and less to the community.

As a result of growing awareness of the higher self-fulfilling needs, the values that gained in ascendancy would include individualism, self-expression, equality, esthetics, participation, sen-

sualism, romanticism, acceptance of change, and experimentation. On the other hand, values that reflected materialism, puritanism, work for work's sake, traditionalism, institutional leadership, and authoritarianism seemed to be on the decline. SRI investigators in 1965 could make this statement: "Evidence points to an increasing rate of change that may produce a value revolution heralding a postindustrial way of life." Remember, this statement was made long before books came out by Toffler, Ferguson, Naisbitt, Yankelovich, Lasch, Peters, Bellah, et al. It was a remarkable piece of prognosticating. The 1965 SRI study did much to change my way of looking at myself and my world. I used it extensively in the 1970s as a source book. I championed some of its conclusions with the hope that I could bring some people in government, business, education, health care, and religion to recognize the changing winds in American values and to start thinking about how to harness this power and direct it rather than be steamrollered by it.

What else can we learn from this earlier study?

—The largest market impact will accompany rapid growth in the esteem-oriented segment of the population. Particularly favored are education, personal finance, leisure spending, and savings.

—Corporations will take on additional social responsibilities and will alter their hiring, promotion, and fringe-benefit programs to match the evolving values of employees.

—Government will be called on to cover survival and security-generated needs. Government will play a larger and larger part in citizens' needs.

—There will be a shift from the manufacturing of goods to services, coupled with growing market fractionalization. That means that market people will direct their products to subgroups in the population. Record companies and film producers, for example, will aim their campaigns at the young teenage subgroups. There will be an accent on personalization. The market people will push automobiles and vans that can be made to a person's individual specifications. All phones used to be black, all bathtubs used to be white. Now you can order whatever color or type you want.

—A more humanistic tone will develop in corporate policy.

—Managerial style seems to be evolving from fist-of-steel authoritarianism, through authoritarian planning, through participative improvising, to participative management by objective.

—A crucial problem will be to provide a social and economic structure that can accommodate a diversity of subcultures that reflect a variety of values and need levels.

—A serious problem will arise as we try to give security-oriented, impoverished people access to the esteem-dominated economic, social, and political system. Each of these groups has a different set of values, and they must be brought closer together if we are to avoid a split.

—The difficulties in leading via participative management are probably far underrated. Executives will have to learn to be leaders of both mood and task. Young go-getters will probably be impatient with the process of participative management. Even older executives may find the process too taxing. Their complaints may be reminiscent of H. G. Wells, who grumbled, "The trouble with socialism is that it takes too many evenings."

Suppose a principal in 1965 read the results of the SRI Value Study and took the conclusions to heart. That principal would have had a great head start in getting prepared to lead his or her school into the seventies and eighties. Not all of the conclusions of Mitchell's SRI study were borne out—we did not increase our rate of saving in this country. But an amazing number of the predictions did come to pass.

Is the following statement a safe assumption? Although the changes that took place in American values from 1965 to 1990 are striking and impressive, there is no reason to doubt that the changes that will take place from 1990-2015 will be any less striking or impressive.

When You Were Born Affects Your Values

Three years ago, when I started to teach in the Principals' Executive Program in Chapel Hill, I was introduced to the materials of

Morris Massey. He is a fascinating speaker whose tapes are used in many companies and agencies. In 1976 he produced a set of tapes titled "What You Are Is Where You Were When." These were followed the next year by a set titled "What You Are Isn't Necessarily What You Will Be." Both tapes are based on Doctor Massey's research as a marketing professor at the University of Colorado. Now his latest set is titled "What You Are Is...."

My job was to lead discussions with the principals on the content of these tapes, which I have listened to over and over again. Massey does a great job in showing how much our values influence the rest of our lives. He explains values and shows how a knowledge of values can help us understand our behavior and the behavior of others. Like Sidney Simon, Morris Massey preaches tolerance and acceptance. Unless I miss his central point, he wants to show that most of our values (at least 80 per cent of them) are formed by the time we are ten years old. Then by the time we reach 20, another 10 per cent of our values are in rather firm control. So his point would be that by age 20, over 90 per cent of our values are accounted for. He lists the major factors that shape values as family, friends, religion, school, geography, economic system, and electronic media.

One of his best ideas is that the point in history in which you are born and grow up greatly influences your value formation. In other words, the time in history when you reach your tenth birthday will have a great impact on your values. I hit ten in the year 1930. What major social upheaval took place in the United States at that time? The Depression, of course. People in my cohort spent their formative years at a time when jobs, money, even food and shelter were in short supply for a majority of the citizens. What values are engendered in people born in that time in history? They are usually very thrifty, conservative, patriotic, and family- and church-oriented. They look on a job as a privilege and exude company loyalty. They are often workaholics. On the other hand, take you young principals or assistant principals reading this book, who were born in the late fifties. When you were ten in 1967-69, what was the tenor of the times in America? These were the turbulent years I talked about earlier. The Vietnam War, student protests, sit-ins, bomb scares,

drugs, rock music, fists raised against all authority and institutions. The family and the church had lost much of their power. The move to the suburbs killed neighborhood closeness. Corporations were becoming suspect. Government officials were assumed to be crooked. How do the values learned in such a society differ from those learned in the Depression days? The differences are great. This explains what we called the "Generation Gap."

In any case, I learned a lot from listening to the Massey tapes. Yet I was not satisfied. Massey is clever, but he is not really saying much that will help. He tells us to listen to everyone and not kill people who have different values from ours. He helps us understand how enculturated all of us really are, but he doesn't give much direction. He leaves himself open to the same complaint that was leveled against Sidney Simon. They both seem to say that one value is as good as another. This moral relativism makes the Moral Majority see red. If values are always tainted with this relativism, we won't be able to use them in the schools. I wanted to find an approach to values that would admit of some truths with a small *t* and some absolutes with a small *a*. I also wanted some approach to values that would allow for a natural and a supernatural pursuit of what the "Good Life" really is. I was very attracted to the approach of Mortimer Adler.

VALS and the Provident Principal

But before we go into the Adlerian approach to values, let's take one more journey into the study of values by the Stanford Research Institute. Only last year did I discover a study titled *The Nine American Lifestyles*. This book by Arnold Mitchell, who also directed the earlier SRI study on values, is a gold mine of information using values to predict American lifestyles. In the preface, Mitchell says,

> So it was that over the years I had become convinced that the roles played by people's values and lifestyles were absolutely central to their personal development, to their actions as citizens, and to their behavior as consumers. I knew this partly from personal ex-

perience: Retrospection showed me that every major turning point in my life was profoundly associated with a change in self-perception, heralding a new set of priorities.

As we have seen, the provident principal needs to be in touch with his or her own set of values in order to come up with the kind of vision for the future school that will be compelling to the school team. As principals, you will find it helpful to look at the latest research on American Values. I highly recommend Mitchell's *The Nine American Lifestyles* for a fuller explanation of what I will briefly summarize.

People have a way of being and becoming what they believe, what they dream, and what they value. Most of us try to mold our lives so that our dreams and beliefs will come true and be confirmed. If you know a person's value system well, you probably have a fairly accurate knowledge of what he is like as a person and what he will do under most circumstances. We often dream our dreams and set our values between the ages of 17 and 22 and spend the rest of our lives trying to realize these aspirations. Of course, there are life changes around 30, 40-45, 50, 60-65, etc., during which we often shuffle our values, rearranging them in a somewhat different priority. Most people experience one or two periods during which what is most important, most compelling, most beautiful shifts from one comprehensive pattern to another. Most of us live our lives in an ordered sequence, advancing from the less to the more developed. Mortimer Adler feels that we really become fully educated only at 65 years of age, at which time we may start to become wise.

The ambitious value study by Mitchell and his associates yields some great insights into American values in the eighties and nineties. The results of this gigantic statistical study resulted in detailed quantitative and human portraits of nine VALS—Values and Lifestyles—types. The VALS typology includes four comprehensive groups that are subdivided into nine categories of lifestyle. Each category represents a unique way of life defined by its distinctive array of values, drives, beliefs, needs, dreams, and special points of view. The VALS typology classifies every adult in the U.S. as belonging to one of nine VALS types, each of which has a name that describes one

major characteristic. (But the name is just a memory device; each group holds a wide range of views and meets a range of demographic criteria.)

The nine VALS types are clustered in four groups as follows:

Need-Driven

Need-Driven people are just struggling to get by, to secure the basics. They buy more from need than from choice. They account for 10.9 per cent of the U.S. population, less than that in the West and more than that in the South. Within this need category are two VALS types—survivors and sustainers.

1. Survivors. In general, survivors are aged, poor, depressed, and far removed from the cultural mainstream. They are struggling to survive.

2. Sustainers. This group is usually made up of relatively young people. Many female single heads of households fall into this type. Sustainers are angry, feisty adults struggling on the edge of poverty. The baby-boom generation (people between 22-40 years of age) may be less well off than its predecessor. More will be displaced downward in terms of status. Today a child under six is seven times more likely to be poor than a person over 65.

Outer-Directed

More than two-thirds (69.2 per cent) of the U.S. population falls into one of three outer-directed VALS types: belongers, emulators, and achievers. The Outer-Directed group is "Middle America." Outer-directeds are strongly influenced in their behavior by their concern over what they feel other people will think of them. The three outer-directed types are:

3. Belongers. This group is the largest of all the VALS types; it is a stabilizing influence on the nation as a whole. Belongers are traditional, conservative, conventional, nostalgic, sentimental, and unexperimental. Their home is their castle. They are traditional "mass market" people. They would much rather fit in than stand out. They will pay a lot of their income to avoid standing out (95 per cent

are white, most are middle-aged, most watch a lot of TV). Archie Bunker is a caricature of a belonger.

4. Emulators. This group contains the ambitious, upwardly mobile, status conscious, macho, competitive people who trust the "Establishment." They are trying to bust into the system and make it big. They emulate the rich and successful. Despite a relatively young median age (27), they make pretty good money; but being high spenders, they are mostly in debt. They don't really understand the values and lifestyles of those they emulate. Their parents went through college but they didn't finish college themselves. They are often in technical fields. They are about to be very disappointed. They won't have as nice a house as the one they were brought up in. Most of them won't make it to the Achiever stage. Psychologically, emulators represent a turbulent transition stage between the established, solid, self-confident, well-adjusted belongers and achievers. They scorn the former, yet they haven't made it to the latter stage—emotionally, intellectually, socially, or economically. They don't drift and act as complacent as the belongers. They do drive themselves and take responsibility for getting ahead. These are the second-wave baby boomers (20-30) who came into the workforce on the wrong side of an economic curve. Median family income in the United States peaked in 1973. They missed it by a baker's dozen years.

5. Achievers. This group tends to be leaders in business, the professions, and government. Here would be many principals and superintendents. Lee Iacocca is a typical achiever. The main characteristics of the achievers' lifestyle are efficiency, fame, status, the good life, comfort, and materialism. They are able and affluent people (except in the field of education) who have achieved within the system the promises of the American dream. They are "somebody." Almost one-quarter of the adult population is made up of achievers. They are the movers and doers. They get things done in any community. To social critics, achievers represent the Establishment. The ambitious, competitive, effective corporate executives or the top lawyers, doctors, dentists, architects, merchants, developers are the achievers. They make the largest salaries and live in the biggest houses. Half live in the suburbs and 87 per cent own their own

homes. They feel good about themselves (94 per cent rate themselves as very happy). They trust people. They have self-confidence. They consider themselves upper class. They do not feel left out, rebellious, or cut off from the mainstream. They support industrial growth, military spending, a strong defense. They are staunchly Republican. Only 2 per cent are black—95 per cent are Caucasian. With the belongers, they have the happiest marriages. They tend to be self-made people. All that means is that they came from families who were less well off and less educated and successful than they are. The American school is greatly influenced by the values of this group. They do not like social change and may give you trouble when your vision of the school of the future departs sharply from theirs. They put a very high value on being self-supporting, independent, and profit-oriented.

Inner-Directed

One-fifth of all adults (19.9 per cent) are classified as inner-directed. Like the achievers, the inner-directed represent the affluent segments of the population. Most are members of the postwar generation (baby boomers). They are highly self-reliant and indifferent to social status. They are often active in social movements such as consumerism, conservation, or environmentalism. They are more self-aware than selfish. They are often first-wave baby boomers who got the better jobs ten years ago and have now reached some financial independence. Raised in outer-directed families in an outer-directed society, they are always living a protest against something in their past. The achiever families that spawned them laid so much stress on social status, material things, financial rewards, and being highly thought of that this group rebelled in adolescence and chose a different road. There are three inner-directed VALS groups.

6. *I Am Me.* This interesting group is made up of young, zippy, exhibitionistic, narcissistic, dramatic, impulsive, profoundly inventive, and fiercely individualistic adults. This is a stage of tumultuous transition from an outer-directed way of life to inner-direction. It usually lasts only a couple of years. It is marked by great emotional

ups and downs. It combines the fear of losing the old and uncertainty about claiming the new. I Am Mes can be pictured as young people raised in rather favored conditions now seeking often ungraciously and noisily to find a new life for themselves. They are saying not only I Am Me but also I Am Not You. The age range is 21 to 30. You seldom meet one over 30. Mostly they are students or between graduate school and a real job. They are not married. They don't own a home. They do own a sports car. Two out of three are males.

7. Experimentals. This group includes people who seek direct experience, vigorous involvement, and intense personal relationships. They are deeply into inner growth and naturalism. Many are artistic, experimental, and highly participative. They are the first to try out new things. Some are involved with ideas, ideals, and causes; others are completely hedonistic. For a few the core of existence is a lifestyle of voluntary simplicity—plain living and high thinking. Some young teachers are like this. Action, interaction with people, events, and ideas—pure and strong—are the essence of life. They passed through the I Am Me stage and have matured. They are attuned to subtlety and nuance. They pride themselves on being 99 per cent right-brained. They love imagination, feeling, and sensitivity, and they may find accounting and engineering a bore. Their achiever parents keep telling them to get into electronics and make a good living. Their parents can't understand why they want to teach. Most experimentals are young—in their twenties. Many have good educations, so they can command an adequate salary. They are happy, self-assured, well-adjusted, with deep faith in the trustworthiness of others. They are liberal politically and socially. They laugh at Archie Bunker. They are against spending on military armament and they are scarred by the Vietnam War, which taught them to have little trust in institutional leaders. They pursue holistic medicine, organic food, rock climbing, and backpacking. They have a great feel for the mystic. They are religious but usually not affiliated with an organized church. Less concerned about self than the I Am Mes, the experientials are concerned with a broader range of issues.

8. Societally Conscious. This group contains the people who are characterized by a strong sense of social responsibility. They are

protesting nukes, toxic waste, acid rain, apartheid, military build-up, censorship, consumer fraud, etc. The 13 million Americans in this group are deeply concerned with societal issues, trends, and events. Most of them are successful, influential, mature, and altruistic. They share some key beliefs that humanity should live in harmony with nature and not try to dominate it, that nature has its own wisdom, that small is usually beautiful, that this is truly one world, that non-material aspects of life are in some sense "higher" than the material, that each person can and should help remedy societal problems, that outer simplicity often goes with inner richness, that simplicity may be the most powerful lifestyle of the future. They tend to ride bicycles and drive Toyotas. They own a modest, highly insulated house that uses some solar heating. They are a sophisticated and politically effective group who do get their opinions heard. Their average age is forty, and they have jobs with some influence. Many are in educational, governmental, professional, and technical fields. An astonishingly large number (39 per cent) attended graduate school (59 per cent hold professional or technical jobs). They don't make as much as the achievers, but they have comfortable salaries. They return unsatisfactory items to the store more than any other group. They tend to distrust corporations and the executives who lead them. They number only 8 or 9 per cent of the adult population, but they have a solid impact on the country. Some school principals and teachers fall into this group. Many university faculty choose this lifestyle. They can be troublesome at stockholders' meetings when they challenge the values of the corporation. They are needed desperately in days like these, when so many people are apathetic. Common Cause is an organization and Ralph Nader is a person who typify this group.

Integrated

9. Combined Outer- and Inner-Directed. Two per cent of Americans are both outer- and inner-directed. That is, they are integrated. Maturity, balance, and a sense of what is "fitting" are prime characteristics of these integrateds. They have put together the decisiveness of the outer-direction and the penetration of the inner-

direction. To these rare people, both outer- and inner-directions are equally good, powerful, useful, and needed. The two styles are different, but each is needed in its place. Integrateds are mature and can weigh consequences. They can see the small within the large. They can consider subtlety along with flamboyance. They always can see the potential in what for others is an error or a mistake. They are lifelong learners. They can pluck the best out of opposing views and combine them into a solution that subsumes both perspectives. Lincoln was a man like that. These are the people we trust and like. They seem to have more wisdom than the rest of us. Mortimer Adler is one of them. Ghandi was pre-eminently in this lifestyle. Combine an achiever and a societally conscious type and you come close to a well-educated person—integrated.

How Values Influence a Person's Decision to Innovate

Principles of Change

As a provident principal with a vision, you will want to know what types of people will be quick to buy into change and which types will be slower. The VALS study gives us some great insights into this problem. A provident principal needs to be a social architect who can help the stakeholders not only to accept necessary changes but also to cooperate in these changes. Over the last forty years, three fundamental insights have emerged concerning the readiness of people to accept change.

First Principle. People tend to fall consistently into either of two categories—early adopters or late adopters. In other words, those who are quick to adopt one innovation tend to adopt others quickly; people who adopt an innovation long after it was introduced are likely to do the same with others. This phenomenon produces a pattern of adoptions across innovations that can properly be called the innovation's diffusion cycle.

Second Principle. A person's decision to innovate is a complex

process that typically extends over a considerable period of time and invariably consists of the same five elements: knowledge, persuasion, decision, implementation, and confirmation.

Third Principle. There are patterns of personal communication by which people strongly influence each other's behavior with regard to innovations. It has been empirically confirmed that early adopters directly and personally influence the decisions of later adopters. It is equally true that late adopters (those who have not yet adopted a particular innovation) also directly influence the innovation decisions of early adopters. The late adopters do this through communication of their norms, values, and expectations about acceptable behavior. For example, real estate people are frequently confronted with this situation: A family falls in love with the house that the agent is showing them but decide against buying it because their parents told them "never buy the first house you look at."

The Rate of Diffusion

There are three distinct but interacting influences on the rate at which an innovation diffuses: the qualities of the innovation itself, the channels of communication to potential adopters, and the personal motivations and demographics of potential adopters.

Qualities of the Innovation. The qualities of the innovation define for whom it is useful, to what extent, and for what purposes. Suppose you are trying to set forth a new vision for your school. The innovation will be an important one because it will affect the professional lives of the teachers and staff. It will greatly affect the pupils and their parents. By nature, an innovation like this will not be equally beneficial to all stakeholders. Which of the stakeholder groups do you think will offer the most resistance to the innovation? Which group will be early adopters?

Communication Network. The second factor that influences the rate of diffusion is the likelihood that information and personal influence concerning the innovation will reach a particular individual through his social network and the ease with which this occurs. Remember we said earlier that the job of the provident principal in-

cludes not only creating an appropriate vision for the future school but also communicating this vision to all the stakeholders. This task is not just a matter of transmitting information. It is surprising how often a person hears information and later honestly says that he has never heard it. In bringing about innovation, the principal has to communicate in such a way that all the stakeholders internalize the message. Most people wait to adopt an innovation until they have had a chance not only to have firsthand contact with it but also to talk it over with a friend who has already adopted it or intends to adopt. The provident principal is aware that the innovations included in the vision will be adopted only if the group works on its members to adopt them—which supports the idea of trying a pilot project to reassure late adopters that the innovation will not be the death of them.

Differences among Individuals. The rate of diffusion for any innovation greatly depends on the personal qualities of those who might adopt. These qualities range from such demographics as income, number of children, and marital status to psychographics like willingness to take risks, desire to stand out or conform, willingness to extend oneself. The values of one's peer group expressed directly and informally are a powerful force for diffusion. What do you think? Are teachers usually quick to adopt innovations or slow? If so, why so; if not, why not?

For an individual teacher or staff member, adopting an innovation in the school may be a complex tradeoff of personal versus cultural values. A gain from one person's point of view can be a loss from another's. This last area of individual difference is the least studied. For this reason the VALS study is most welcome as it helps us better understand this diffusion of innovation.

The Five Innovation Types

Because there seemed to be strong differences in the motivations and circumstances of adopters along this diffusion curve, VALS researchers developed a scheme for classifying adopters into five segments: front-runners, early adopters, early majority, late majority, and laggards.

Front-runners are the 2.5 per cent of the population who are earliest to adopt an innovation. The next 13.5 per cent are the *early adopters*. The two middle groups of 34 per cent each are the *early* and *late majority*. And the last 16 per cent to adopt an innovation are the *laggards*. These five types were distinguished on the basis of when they made their adoption decisions. Try to divide the teachers, staff, pupils, parents, etc., connected with your school into these five categories. Remember the monolithic 68 per cent in the middle. It won't move as fast as the speedy 16 per cent or lag as badly as the last 16 per cent. The big middle has to move or the innovation is not adopted. How do you reach it?

1. Front-runners Are Venturesome. They are eager to try new ideas. They usually have wide interests and a pattern of friendships with other front-runners. They stay in touch with people who are physically removed from them. They write and telephone long distance more than most people. They are usually fairly well-fixed financially. They can get by if the innovation doesn't work. They usually are able to apply complex technical knowledge to a problem. They can tolerate or even like loose ends. They like whatever is rash, daring, and risky. They can take an occasional setback without feeling that it is the end of the world. The front-runners are the ones who launch new ideas. A disproportionately large number of them live in California.

2. Early Adopters Are Respectable. They are more integrated into the local community than the front-runners. The early adopters are the leaders in their localities. Others look to them for advice and information about innovation. The principal is wise to identify this group because they will be most influential in getting the vision accepted. The early-adopter category is usually sought by change agents as the local missionaries for spreading the diffusion process. They have more credibility than the front-runners, whom the locals consider to be somewhat "flaky." The early adopters like their role in society, so they work hard to make judicious innovative decisions. Their role is to decrease uncertainty about a new idea by adopting it and then conveying a subjective evaluation of the innovation to other members of their network.

3. The Early Majority Is Deliberate. This group of 34 per cent adopts new ideas just before the average member of a social system. They are great team members who talk constantly with their peers but seldom function in a leadership role. They provide a connection between the very early and the relatively late adopters. They tend to deliberate for some time before completely adopting an idea. Their motto is taken from Alexander Pope: "Be not the first by which the new is tried / Nor the last to lay the old aside."

4. The Later Majority Is Skeptical. They adopt new ideas just after the average member of a society. They are cautious. They wait to see which way the others go before they plunge. The weight of system norms must definitely favor the innovation before the late majority are convinced. They follow Missouri's "Show me" motto. They need a lot of pressure from peers before they adopt the new idea. They feel that they have relatively limited resources, so they want almost all uncertainty removed before they risk on a new idea.

5. Laggards Are the Rock-ribbed Traditionalists. Laggards are the last group in a society to adopt an innovation. They have no opinion leadership. They are most parochial in their outlook. Many are near isolates in social networks. The point of reference for the laggard is the past. Laggards often decide on the basis of what was done before. These individuals tend to interact primarily with others who also have relatively traditional values. By the time they adopt an idea, it may already have been superseded by a more recent idea that is gaining acceptance. Laggards are often one or two ideas behind.

VALS Types in the Five Categories of Innovators

As might be expected, the VALS types help us to understand why some people are quick to adopt new ideas and others are so much slower. This study may help principals and assistant principals, who must function as change masters, to see the connections between VALS types and the rate at which innovations are adopted. Certainly, the principal can see examples of all these types and categories in his or her school.

VALS types who are front-runners tend to be drawn from experimentals, followed by I Am Mes, sustainers, the societally conscious, achievers, and emulators. Front-runners are often impulsive, spontaneous people who like to experiment. Belongers and survivors are much less likely to be front-runners. These two groups make up 42 per cent of the adult population, but only 14 per cent of the front-runners. Principals can see that their teachers, staff, and parents from the belongers' and survivors' groups are not going to show leadership in accepting change.

VALS types who are early adopters are socially well connected and affluent. They include the achievers, the societally conscious, and those who aspire to be in these groups, the emulators. These are the groups from which the principal can expect to get some help in creating and transmitting the vision of change for the school. The early adopters have the respect of the community and yet they are willing to explore new opportunities. They are an invaluable asset for the provident principal.

VALS types who are in the early majority are primarily emulators, achievers, and I Am Me's. Income and social connections are less associated with the number of the early majority than with front-runners and early adapters. Belongers are still considerably underrepresented in this category. The early majority, containing 34 per cent of the population, are the most critical group for the principal to engage in the vision. The principal can use the help of the early adopters (societally conscious and achievers) to move this most important segment of the population.

VALS types who are in the late majority include survivors, belongers, and experimentals. It is not surprising that survivors and belongers are slow to adopt. It is rather surprising that experimentals are among the late adopters. Perhaps they burn out and turn back toward a more conservative stance. In any case, the provident principal will spend much time and energy with this group of late-majority people trying to help them to accept innovations in the school vision.

VALS types who are laggards include survivors, belongers, and

sustainers. This group is actively resisting change and may never accept the principal's vision for the new school.

The Provident Principal and the Wallenda Factor

In speaking about the most impressive and memorable quality of leaders in their book *Leaders*, Bennis and Nanus tell a story about the great aerialist Karl Wallenda, whose life was at stake each time he walked the tightrope. They make the analogy with great leaders who put all their energies into their tasks and never think of failure. Leaders don't even use the word "failure." They rely rather on such alternates as "mistake," "glitch," "bungle," "false start," "bollix," or "setback."

Karl Wallenda fell to his death in 1978, while he was walking a tightrope 75 feet above the main street of San Juan, Puerto Rico. Soon after, his wife, (also an aerialist) discussed that incident. She recalled, "All Karl thought about for three straight months before it happened was falling. It was the first time he had ever thought about that, and it seemed to me that he put all his energies into not falling rather than into walking the tightrope." Mrs. Wallenda added that her husband even went as far as to personally supervise the installation of the tightrope, making certain that the guy wires were secure—"something he had never ever thought of doing before."

Applying this tragedy to our study of provident principals, we can say that when principals pour their energies into "not failing," rather than into setting out to implement their new vision, then—like Wallenda—they are destined to fall and/or fail. I like the quote from Karl Wallenda made ten years before his death, when he never thought of "failure or falling." He said, "Being on the tightrope is living. Everything else is waiting."

Now that we have covered the concept of innovation and seen which groups of VALS types find it easiest and hardest to go along with the provident principal's new vision, it is time for us to help the principal look into the crystal ball and make some predictions for the future school.

A Peek into the Future

Trying to read the future is fraught with risk. It is like walking a tightrope. The only greater type of risk is neglecting to look into the future, preferring to let the future come up and blind us. Laggards and late-majority people are not safer because they neglect to look to the future. Principals have no choice; they have a mandate to try to read the future. Suppose we look at some of the tentative forecasts from Arnold Mitchell's VALS study. If you read these, keeping in mind the way your vision of the school will take shape, you may have the courage to dream a great dream for your school in the 1990s.

Mitchell offers countless scenarios for the future. We will pick out the one he calls "Renaissance." In it, Mitchell makes an optimistic prognostication for America. Let's hope he is right. He speculates that there will be a new order in the 1990s and beyond. A new type of leadership will be the vehicle that brings about this renaissance. A new type of achiever will emerge. These new leaders will come from inner-directed families. Thoroughly aware of inner-directed values, yet no longer convinced that those values lead to the most desirable quality of life, these convert achievers seem likely to bring an exceptional range of insights and a fresh power of conviction to the fatigued and even jaded ranks of classic achievers. The forces are already in motion. Leaders will come largely from individuals plus selected small and large companies. Central government and large bureaucracies will probably not produce this new type of leader. The remarkable person will be the agent of change. Thinker-doers rather than intellectuals or pure pragmatists will be the true leaders.

Some trends follow:

—Sense of national pride will increase.
—Willingness to accept tradeoffs, such as deferring progress or raises in one area that may hinder progress in other areas.
—Decentralization of decision-making.
—Personal involvement with work and national issues.
—Recognition of the contribution and expectations of all stakeholders. More sharing of inputs and outputs.

—Appreciation of other people, other ideas—of the strengths and weaknesses of both inner-direction and outer-direction.
—Acceptance of many cultures and viewpoints rather than exclusive emphasis on the home culture and viewpoint.
—Attention to the spiritual and artistic sides of people.
—Awareness of the consequences of acts: as employers, as employees, as consumers, as citizens, as parents, as inhabitants of Earth.
—Honoring of the personal, the unique, the mystical.
—The ability to be open, moved: to live by the right hemisphere of the brain as well as by the left.

This may sound too good to be true, but it is not beyond imagining, and we can and should have something to do with realizing this vision. What are some of the quantitative projections under this scenario?

—Almost all growth will be concentrated among the inner-directeds.
—The number of belongers in the adult population will decline by 30-35 per cent. This will be the only substantial negative change.
—Population growth will sustain the absolute numbers of need-drivens and outer-directeds at about the same levels despite shrinkages in percentages. (This is one on which I differ with Mitchell. Following the thinking of Senator Daniel Moynihan of New York, I believe that there will be large increases among the need-drivens.)
—Especially critical for the social scene is the ratio of achievers to societally conscious. The 1980 ratio was 2.7 to 1; it is expected to be 1.5 to 1 by 1990 and thereafter. Clearly the achievers will remain dominant, but less so than now. Many principals, teachers, and parents will change from achievers to societally conscious. This should help the provident principal get his or her vision accepted.
—From a percentage standpoint, the fastest growth attends the integrateds. Frankly, we expect this growth will be minuscule in the 1980s but much larger during the 1990s and thereafter. The number of integrateds could grow substantially as impressive models of integrated individuals surface, spurring the conscious

switch-over of many people on the brink of that critical psychological advance. Mortimer Adler, with his lifelong-learning movement, will help many to make this switch. Integrated principals (provident principals) will lead their schools into the twenty-first century with a new and compelling vision.

Well-being and Ill-being in America

As principals, you know that the public schools from K through 12 are critically important in the development of our greatest asset—our young children. Yet you are realistic enough to recognize that the general sense of well-being and ill-being in our country is not primarily the responsibility of the public schools. Only about 30 per cent of the families in this country have an immediate stake in public education. Provident principals can have great visions for their schools, but if legislators, business and government leaders, professional people in the communities, and the rank and file citizens don't become more societally conscious and aware of the needs of our schools, the visions will have little chance. The best way to help public schools in the long run is to help as many adults as possible to invest themselves in a program of lifelong learning.

A sense of well-being depends on the satisfaction of three basic kinds of need. Following Erik Allardt's language, we have called these the need for having, the need for relating, and the need for being. A person can be very rich and have all his needs for having met, but it is not guaranteed that he will have the needs for relating and being satisfied. We have all met "poor little rich boys (men) and girls (women)." Over the last 20 years income has tended to lose its force in this country as an indicator of subjective well-being, especially among people with a college education. People have not lost interest in having material things and other benefits, but as these needs are satisfied, the needs for interpersonal relationships and a favorable self-evaluation become relatively more important. Just as health seems to be of secondary consideration in the life satisfaction of people who are in vigorous good health, income appears to lose priority

in the lives of people who have reason to feel financially secure. If we can raise teachers' and school administrators' salaries to the point where they can feel relatively secure financially, we will attract and keep some outstanding people to this field.

How can provident principals have the courage to continue dreaming their dreams and implementing their viable vision for the school of the 1990s? If some of the predictions we are sharing here have any plausibility, the provident principal will not feel so alone and misunderstood in the next decade. Provident principals who have studied the *Paideia Proposal* know that many Americans are on the verge of wanting to know not only "who" and "what," but also "how," "why," and "when." What comes after Trivial Pursuit? You have many allies out there, led by Mortimer Adler, who want to have information, knowledge, understanding, and wisdom. Life-long learning by adults may well use the school building and help the principals revamp the schools. You have fought the good fight. Support is on the way.

Discussion Questions for Part 1

(1) Should a principal be primarily a master teacher or primarily an effective manager?

(2) What part do values play in the principal's vision?

(3) In what three ways does a principal function as a social architect?

(4) Which three of your values would you like to inculcate in shaping and forming the school you now direct or will direct?

(5) How do you define "moralizing?"?

(6) What does a "laissez-faire" attitude toward the transmission of values espouse?

(7) How are values transmitted by imprinting and modeling?

(8) Why do some groups feel that "value clarification exercises" have no place in the school?

(9) How did the Stanford Research group define "values." Into what three classes did they put "values"?

(10) Why are "core values" so resistant to change?

(11) Explain Maslow's needs theory?

(12) Summarize the predictions made in 1965 by the Stanford group?

(13) Do you have any reason to believe that the changes coming between 1990 and 2015 will be any less drastic than the changes that came between 1965 and the present? Explain.

(14) How is your value-formation process influenced by the events that took place around your tenth birthday? Explain.

(15) Contrast the values of a school board member born in 1920 with those of a teacher or a parent born in 1957.

(16) From which of the nine VALS types do the majority of your pupils' families come?

(17) Which of the VALS types comes closest to reflecting your values?

(18) Think of a specific innovation you would like to try in your school. Which group will offer you the most resistance? Which groups will be early or late adopters?

(19) Into which of the five innovative types do you as a principal fit?

(20) Try to divide the teachers, staff, pupils, and parents connected with your school into the five innovative types.

(21) Why should you as a principal pay special attention to the early-adopter group? How can they help you with your communication of the vision?

(22) What meaning does the Wallenda Factor have for the provident principal?

(23) How accurate do you think Mitchell's Renaissance Scenario really is?

(24) A sense of well-being depends on the satisfaction of three basic kinds of needs. Explain.

(25) How can the *Paideia Proposal* help a principal form, sharpen, and communicate his or her vision?

PART 2.

The Seven Intellectual Competencies in Vision

All changes in educational vision will have to take into account the changing learner and what we know about him or her. Recent research makes a good case for the existence of seven distinct intellectual competencies in each of us. Educators in the past stressed some of these and neglected others. Now our vision broadens, and we stretch our mind to include the whole range of intellectual potentials. The vision of the provident principal will include the serious commitment to developing all seven of these potentials in each student to the extent that the student can and will join in this thrilling pursuit. Now we can see that a breakdancer is developing one or more intellectual potentials as he or she gyrates. (Someone said that breakdancing was discovered by a youth trying to take hubcaps off a moving car.) In any case, the provident principal will want to learn all he or she can about the seven intellectual potentials.

For years we thought of intellectual ability as a unitary function. We talked about a pupil's I.Q. as if one number would help us identify the pupil's intellectual capacity. Later we became more sophisticated and distinguished Verbal I.Q. and Performance I.Q. We added the two scores and divided by two to get the Total I.Q. Thirty-five years ago, I wrote and published a doctoral thesis grandly titled "Sex Differences in Intelligence." I was able to tease out three intellectual factors from my factoral analysis. It appeared that males used the numerical and spatial factors and avoided the verbal factor. On the other hand, females seemed prone to use the verbal factor and shy away from the other two. To the question who is smarter—men or women, I answered prudently, "Which man and which woman?"

For you provident principals who suspect that intelligence is too complex to be measured by the single number derived from in-

telligence tests, we have a broader vision—a new way of looking at human beings.

The new theory of Multiple Intelligence, presented beautifully by Howard Gardner in his book *Frames of Mind*, is just what the doctor ordered for a principal who is striving to improve his or her vision. The seven intellectual competencies help the principal to envision more clearly and strikingly. A basic understanding of them helps the principal strengthen his or her understanding of the seven potentials in the pupil.

Linguistic Intelligence

When principals talk about linguistics, they usually think of word skills—reading, writing, grammar, punctuation, literature, and so on. When we connect linguistic intelligence with vision, we have a different approach. When Martin Luther King gave his now famous "I have a dream" speech, he most certainly used linguistic intelligence in the service of a vision. His vision was that of young boys and girls holding hands. At first it is just boys and girls holding hands; later we saw the vision more clearly. It included black and white boys and girls holding hands. At the time, this was only a vision, in the sense that it had not been implemented. In 1986 there was still a dream of millions of Americans holding hands across the great expanse of this continent. Some were boys and some were girls, some were black and some were white, and they held hands and stretched across this country to call attention to our need to care for the poor and weak in this rich and strong country. This is the stuff that dreams are made of.

A vision is a target that beckons. John F. Kennedy had a vision. He set a goal of putting a man on the moon by 1970. He was assassinated in Dallas by Lee Harvey Oswald on November 22, 1963, but his dream lived on. Martin Luther King had a vision of black and white children holding hands. He was assassinated in a Memphis motel by James Earl Ray on April 4, 1968. Martin Luther King's dream lives on. We have landed many men on the moon; we

Americans held hands and spanned this continent. King and Kennedy, men with powerfully compelling visions, were able to use their great linguistic skills to communicate their visions. They made a difference.

How do we use our linguistic intelligence in forming and transmitting a vision? No one ever gets anything done in a cooperative way who isn't able to both see and say a vision. We can't get anything done alone without having a vision and the ability to conceptualize it to ourselves.

Linguistic intelligence seems to be the most widely and democratically shared across the human species. The Tower of Babel is a symbol of the human confusion and waste that arise when humans lack the linguistic capabilities needed to communicate a common vision. At times, the United Nations seems to suffer in much the same way.

The provident principal has a vision for his or her school. He or she must call on linguistic intelligence to articulate and communicate this vision. So let us look at the core operations of language.

—A sensitivity to the meaning of words, with appreciation of the subtle shades of differences.

—A sensitivity to the order among words.

—To follow the rules of grammar for the most part and to violate them on appropriate occasions.

—A sensitivity to the sound, rhythm, inflection, and meter of words.

—A sensitivity to the different functions of language—its potential to excite, convince, stimulate, convey information, or simply please.

Take a minute to jot down examples of these core operations of language in the speeches of King, Kennedy, Churchill, Roosevelt, Lincoln, or any other orator.

How does a principal use these core operations to improve his or her communication of a vision?

A provident principal can accomplish his dream only if he can effectively communicate his vision to the superintendent, supervisors, assistant principals, teachers, staff, students, parents, P.T.A., school board, neighbors, etc.

Why should a provident principal take time to help his teachers

to develop the skill necessary to communicate their visions to the students?

Why should a provident principal try to motivate his teachers to encourage their students to develop the ability to fashion a vision and the skills to communicate that visions with peers and parents?

Four Aspects of Linguistic Intelligence

The Rhetorical Aspect. This aspect refers to the use of language to convince other people to choose a certain course of action. The provident principal is using rhetoric to try to communicate her vision to the people without whom it will never become an implemented, three-dimensional, tangible reality.

The TV set in most American homes is on over seven hours a day. Are the viewers exposed to much rhetoric? How does it work? Are the teachers in your school on a par with the communicators on the TV? What advantages do the TV people have over the principal, teachers, and parents?

The Mnemonic Aspect. This aspect of linguistic intelligence stresses the ability to remember information. Why can I remember Martin Luther King's "I have a dream" and J. F. Kennedy's "Ich bin ein Berliner [sic]?" Why can we remember Mr. Whipple sneaking a squeeze of the Charmin, soon after scolding others for doing the same? Does the provident principal take seriously the improvement of that mnemonic aspect for herself, her staff, and the students?

How come illiterate Africans were more successful at remembering stories than either schooled Africans or schooled New Yorkers?

Which of these two numbers is easier to remember?

594073291584738233 59

149210661776200119 86

In the same year that Christopher Columbus rediscovered the Americas, Gutenberg invented movable type. Both discoveries changed the world. With the printing press available some said, Why memorize anything, now that we have books to use as references? Now the telephone, TV, telecommunications, and computer terminals

are here. Is that a good reason to spend even less time and effort on memorizing anything? We still need to develop our memories.

Use it or lose it. Our memories are capable of prodigious tasks. In a fragmented world in which some 60,000 science journals are available and 1,000 significant articles are published daily, a certain amount of memory seems imperative. Since the number of media-produced words available to Americans doubles every decade, we need to develop some ability to identify basic concepts and learn to organize data and information in some logical manner. In a strange way, memory allows us the luxury of not paying attention to everything that comes down the pike.

The Explanatory Aspect. Much of learning and teaching occurs through language. Sometimes this process is accomplished by oral instructions by means of verse, collections of adages, or simple explanations. Later it is accomplished by means of written words either printed on a page or flashed on a monitor. The provident principal is forever explaining something to someone. Would it be safe to say that principals who are strong in this aspect of linguistic intelligence have the edge? Would it be safe to say that the best teachers in your school are the ones who can explain things so clearly and simply that misunderstanding is kept to a bare minimum? How can we teach students to be better explainers? A vision needs constant explaining, and most of us are continuously trying to see our vision more clearly and transmit it more concretely and compellingly. Tony the Tiger, Josephine the Plumber, Mr. Whipple the store manager, Morris the Cat, Charlie the Tuna, and the Jolly Green Giant have been trying to explain something to each of us for a long time. What vision did they explain? Do you remember what they were explaining? I'll bet you do.

The Meta-linguistic Aspect. This phrase refers to the potential of language to explain its own activities. In the last thirty years linguists have given us a firmer understanding of what language is and how it works. For so long, we took language for granted as goldfish take for granted the water in which they swim. Provident principals are becoming more and more interested in the whole study of meta-linguistics. They realize that our technical breakthroughs in

communications have run ahead of our ability to use the human means of communication. When I hear an unskilled high school rock group perform at 98 decibels, I realize that the technology is far ahead of the art.

Sometimes when I hear an assistant principal make announcements over the intercom, I am also aware of the same thing. It was better in the old days when we could blame these lapses on the faulty intercoms.

Provident principals are paying more and more attention to writing skills. We are beginning to realize that one cannot think very well without writing well and vice versa. Writers speak of their skill as a muscle that demands daily exercise. "No day without a line" is their byword.

The goal of the scholar, scientist, preacher, principal, teacher, or public leader is to describe accurately a problem or situation that is important to others and to convince others that his or her vision and interpretation of the situation is appropriate and accurate.

It may be that school administrators have stressed linguistic intelligence to the exclusion of some of the other intellectual competencies and potential. I wish we could feel complacent about the way we develop linguistic potential in ourselves, our teachers, staff, students, etc. I am afraid we may have to rethink our approach to this most important aspect of general intelligence. The technical writer is in great demand because so few professionals and technologists can communicate clearly and understandably either orally or in writing. Business leaders buy books of prefabricated business letters because they can't quite put their ideas down clearly and concisely. We do provide remedial English in the schools but wish we were free to go further and help people speak and write poetically and dramatically. The provident principal has this dream in his and her vision. We all have a dream—a more literate, less drab America.

Musical Intelligence

The provident principal knows that it takes more than linguistic

intelligence to shape and share a vision with others. Provident principals have a quality in common with all leaders: they are very good at selecting, synthesizing, articulating, and communicating a vision of the future.

The task of synthesizing an appropriate direction for a school is complicated by the many dimensions of vision that may be required. Principals, like all leaders, need *foresight* so that they can judge how the vision fits into the way the school's environment may evolve, *hindsight* so that the vision does not violate the school's traditions and culture, a *world view* within which to interpret the impact of possible new developments and trends, *depth perception* so that the whole picture can be seen in appropriate detail and perspective, *peripheral vision* so that the possible responses of interested parties can be comprehended, and a *process of revision* to fine-tune the vision.

Of all the gifts with which individuals may be endowed, none emerges earlier than musical talent. Why does this talent come so early? There is not yet a good answer to this question. I have an idea that we are by nature more musical than most people think. We spend our first hours listening to a lullaby, and we are ushered into eternity listening to the music of the spheres. Music hath charm to do a million things.

One principal told me of a very interesting musical experiment. At the teachers' meeting to open the school year, he wanted to get across to the teachers and staff how important it would be in the coming year for all of them to be committed to the pursuit of excellence. Instead of giving a pep talk or a fervorino, he simply dimmed the lights and had the theme from *Chariots of Fire* played over the amplifying system. Everyone in the room sat and listened intently. As the final notes died out, not one person had missed the message. If you close your eyes now and let that tune run through you, you will feel inspired. You will probably see a picture in your mind's eye of a group of young men running on the beach. They are wearing shorts that are longer than the type we wear. They are training—pursuing excellence. As you listen you are caught up in the emotion—you will strive hard to be the best person you can be—to

pursue excellence. The principal used music to communicate a vision. Not a bad idea.

When we study great composers, we find that they seem to have tones, rhythms, and larger musical patterns running through their consciousness. At first those patterns are vague. Then they take firmer shape in the composer's head. Finally, the composer adds more logical musical thinking as he or she composes. Just as we put our ideas on paper using the laws of logic and grammar, so the composer follows the law of musical thinking.

For those of us less gifted, music still plays a large part in our daily life. Pitch and rhythm fill the air. We listen to the timbre of voices, instruments, bands etc. We may not realize how much music plays directly to our emotions. Every TV show, movie, and commercial has a musical background that goes directly to our feelings.

An experiment: What are the melodies that go with the following?

"M'm, m'm good, m'm, m'm good, that's what Campbell Soups are—m'm, m'm good."

Coca-Cola's ode to brotherhood, "I'd like to teach the world to sing."

"My bologna has a first name, it's O-S-C-A-R."

There is a big difference between linguistic intelligence and musical intelligence. The two are localized in different areas of the brain. Linguistic seem to be localized in the left hemisphere, and musical ability in the right hemisphere. But what happens when we put words and music together? The two intellectual competencies complement each other. When Martin Luther King repeated over and over again "I have a dream," he really sang it. Music relates in many ways to the range of human symbols and intellectual competencies. Music is a very important and central part of all human experience. If we could explain music, we might find the key to human thought. This we know with certainty—the failure to take music seriously weakens any account of the human condition.

The provident principal knows with deep conviction that his or her vision will not be accepted unless it is claimed and owned by all the main actors. When a principal articulates a vision and gives it

legitimacy, he or she must fire the emotions of the followers. In this way followers are empowered to make decisions and get things done. What role should music play in firing the emotions and empowering people?

Young children relate music with bodily movement. They find it almost impossible to sing a song without engaging in some physical movement. When they hear a march, they march. When they hear a lullaby, they quiet down (sometimes). Earlier in our common racial histories, we danced a lot more than we do now. The dance was serious part of tribal ritual. Our residual foot-tapping is a pale reflection of a spectacular musical event. The lonely teenager carrying a monstrously oversized portable radio on his shoulder walks along and dances a step or two as he listens to the latest rock or country tune. The provident principal knows that the use of music is essential in any effort to communicate a vision.

Music serves as a way to capture feelings. Our music gives us an insight into our feelings. When we are sad, we sing a sad song—when we are merry, a jaunty one. Some wag complained about how weird the Irish are: "All their wars are merry, and all their songs are sad."

Music captures all the important parts of our life cycle. We sing a love song on Valentine's Day. We sing a "fight song" at the big game. We sing sentimental songs on New Year's Eve. We sing carols at Christmas. Music can stimulate emotions, accelerate the pulse rate, cure asthma, induce epilepsy, calm an infant, inflame a soldier, and touch a lover. No vision can ever have legs and go into action without some musical support. The provident principal realizes the importance of musical intelligence for himself, for teachers, staff, and students. No vision gets a hearing without music. No vision gets carried out without it.

Logical-Mathematical Intelligence

Unlike linguistic and musical capacities, logical-mathematical intelligence does not originate in the auditory-oral sphere. Instead, this

form of thought can be traced to a confrontation with the world of objects. It is in confronting objects, in ordering and reordering them, and in assessing their quality that the young child or the principal gains his or her initial and fundamental knowledge about the logical-mathematical realm.

When we come to the provident principal and his or her vision, we see immediately that logical-mathematical intelligence is absolutely essential. If the principal is to create a new and compelling vision capable of bringing the key players to a new place, he must develop commitment for the new vision, and institutionalize it. If the vision is to become institutionalized, the principal must use his logical-mathematical intelligence.

We see the origin of logical-mathematical intelligence in the child's action on the physical world. Children count. They add, subtract, pile up, take away blocks over and over again. They look for the missing blocks. Soon they can manipulate the blocks in their heads instead of actually moving them. They discover number. Number, mathematics, logic, and science all come later if the child has the ability, desire, and encouragement to develop this logical-mathematical ability. Our culture rewards such development. Those who graduate from a college or university in accounting and engineering are paid higher salaries than their classmates. Those who major in linguistics and music are much less sought after and are rewarded more modestly. This tells us something about the priorities we have for the seven intelligences.

You find it very difficult to hire math teachers and science teachers because there is a market for them in private industry.

The provident principal knows that logic is involved with statements, while mathematics deals with abstract nonlinguistic propositions. In its higher reaches, logic always leads to mathematics. In fact, in the higher levels of math, very few numbers are used. Mathematicians try to formulate rules that can apply to the widest possible range of problems. They love nothing better than to prove conclusively that this or that problem is unsolvable. No one can ever solve it. So there. The most important part of the mathematician's gift is the ability to handle long chains of reasoning skillfully.

Michael Polanyi, an eminent scientist-philosopher, confessed that he lacked the necessary intellectual equipment to master many aspects of mathematics. Einstein always introduced himself as a physicist. He didn't want to be known as a mathematician because mathematicians are considered too abstract and removed from the real world. Provident principals—in communicating and implementing their vision for the school—need not go into higher math, but they must be practical and logical in the steps they take while institutionalizing their vision. Each person has a potential to handle objects either in the physical world directly or by abstraction in the mind. Our provident principal has all the practical good sense of a down-to-earth leader. He or she has the ability to translate the steps involved in institutionalizing a vision into the measurements, accounting symbols, and other abstractions without which a vision never gets put into three dimensions. On the other hand, the provident principal never loses sight of the linguistic and musical capacities as he or she lays out the strategies in terms of logical-mathematical symbols.

When Sputnik went up in 1957, we began to realize that we were lagging in our teaching of math and science. When the Japanese started to out-market us, we realized that we didn't look closely enough at the bottom line. The provident principal isn't reacting against anyone, but rather is trying to be sure that all the seven intelligences get a fair chance to develop in each student.

Spatial Intelligence

The right hemisphere of the brain, and in particular the posterior portions of the right hemisphere, proves to be the site most crucial for spatial (and visual-spatial) processing. Sex differences appear more regularly in tests of spatial intelligence than in most other forms of intelligence.

Inventors and scientists tell us that the vivid role of imagery plays the greatest part in their discoveries and their solutions to problems.

The provident principal knows that we need to develop our

spatial intelligence in order to create a new vision. As an effective leader, the provident principal assembles for his or her school a vision of the desired future state. While this task may be shared and developed with other key members of the school community, it remains the core responsibility of the principal and it cannot be delegated.

The transformation of any social structure like a school must begin at the top of the organization. Strong principals rely more on their own instincts than on their staff in developing a new vision. Of course, they consult the staff and ask for their suggestions. But they don't rely on the staff to build a patchwork vision. A patchwork vision becomes a collage, and it doesn't have the compelling unity to move others. It has been said that a giraffe is a horse designed by a committee.

It is easy to see that the process of seeing, saying, and implementing a vision demands reliance on spatial-vision intelligence. The provident principal uses his or her spatial intelligence and tries to engage the spatial intelligences of his staff, teachers, and students. Someone said, "We don't get what we want in life, but we usually do get what we picture [vision]."

Central to spatial intelligence are the capacities to perceive the world accurately, to transform and modify one's initial perceptions, and to recreate aspects of one's visual experience, even in the absence of the relevant physical stimuli. It is easy to see how an architect needs this type of spatial ability. So does a navigator. One principal explained that this spatial intelligence is necessary in organic chemistry, in which the students must be able to grasp complicated, three-dimensional molecular structures and see them mentally as they are transformed. This comment solved a problem that had vexed me for years. Why do pre-med students with an A average in all other subjects get washed out in organic chemistry. Could it be an underdeveloped spatial intelligence?

Spatial intelligence is the "other intelligence"—the one that should be arrayed against and considered equal in importance to "linguistic intelligence." The world is perceived best by using two coding systems—a verbal code and an image code. The linguistic

code is in the left hemisphere and the image code in the right. Each of us favors one over the other. The sharpest among us develop both.

We have long realized that science calls on this spatial intelligence. Much of science is related to the development of spatial displays and/or models. Many scientific problems cannot be stated in merely verbal form. Leonardo da Vinci was drawing airplanes in the fifteenth century. Two engineers can hardly communicate with each other without the use of drawings and demonstrations using three-dimensional units. Introductory courses in science may be taught in words, but after the novice become proficient in handling the initial concepts, how far ahead he or she progresses will usually depend on his or her ability to handle the spatial aspects of the problems. Einstein said, "Imagination is everything."

Granted that the scientist needs to develop spatial intelligence, why does the provident principal need to do so? Granted that the artist uses this imagery and vision to create works of art, why does the provident principal need spatial intelligence? The provident principal is called provident precisely because he or she sees into the future and anticipates future wants and needs. A principal has to form a vision of the future that is large, all-encompassing, and clear—but flexible enough to alter with the changing times. The provident principal needs an abstract vision. Although the vision is vibrant, clear, and compelling, it is also abstract. Napoleon claimed that any commander who entered battle with a detailed image of his battle plan would find the image so difficult to modify quickly that he would be defeated because he could not adjust to the demands of the moment. Likewise, the principal needs a vibrant, clear, compelling vision, but it must be abstract enough that it can be remapped and fine-tuned to fit the exigencies of the moment. This kind of vision demands a developed spatial intelligence—almost a geometrical memory. It is the spatial aspect added to the visual that gives the true leader the kind of vision that moves him and his team toward a compelling future. We don't have the time or space here to discuss how the principal develops his or her own spatial intelligence, nor can we talk about the curricula that favor this development for the teachers and students. But we cannot leave this section without saying that ex-

posure to the arts is a sine qua non for developing spatial intelligence. Kenneth Clark, the British art historian, describes the impact that a visit to an art gallery had on him when he was a young child. He says, "Immediately I was transformed. On either side were screens with paintings of flowers of such ravishing beauty that I was not only struck dumb with delight, I felt that I had entered a new world. In the relationships of the shapes and colors a new order had been revealed to me, a certainty established."

Just as music has a transforming power over us, so a vision communicated in whatever manner can transport us into another world. Saul on the road to Damascus saw a vision that changed him into Paul the Apostle. All of us to a lesser degree have had our lives turned around by a vision. The provident principal knows that the new school starts with a vision.

Bodily-Kinesthetic Intelligence

The actor, dancer, athlete, inventor all have greatly developed bodily-kinesthetic intelligence. The provident principal knows that the vision he or she has demands this same type of bodily-kinesthetic intelligence.

Just as a *poet* represents the pinnacle in linguistic intelligence, the *composer-performer* the tops in musical intelligence, and the *mathematician-scientist* the acme of logical-mathematical intelligence, so the *artist-scientist* seems to scale the height of spatial intelligence. Who, then, represents the best in bodily-kinesthetic intelligence? We could choose an actor, a dancer, an athlete, an inventor, a surgeon, an opera singer—but instead we will choose Marcel Marceau, the famous mime. The mime uses an intelligence that each of us has as a potential, but it is not developed in many people to the extent that it could be and should be. It is the bodily-kinesthetic capacity that allows a person to use his or her body in highly differentiated and skilled ways, for expressive as well as goal-directed purposes. A great mime like Marceau has almost perfect control over his bodily movements and the management of physical objects. Try to

picture Marcel Marceau performing. What is he doing? He is leaning against a nonexistent wall. He is washing a nonexistent window. He moves across the stage as if he were ice skating but there is no ice. He is threading a nonexistent needle with nonexistent thread. What perfect control he has of all his body parts. He makes every movement seems so easy and smooth. He is communicating visions.

Great dancers too have their bodily-kinesthetic intelligences well developed. They have marvelous mastery over the movements of their bodies. They seem to know where and in what position all their body parts are even as they gyrate through a a great multitude of choreographed motions. We see the same thing with an Olympic swimmer or diver. We marvel as we watch Michael Jordan or Larry Bird jump through the air and do a multitude of movements as he glides toward the basket. At the last second he releases the ball and it goes through the hoop.

Each of us has developed a modicum of our bodily-kinesthetic intelligence, but we have much more that we should and could develop. Our culture is ambivalent in its appreciation of this type of intelligence. In one sense, we overpay our star athletes, actors, and other performers, but we reward excessively only the most outstanding among them. We seem to say, "If you want to develop this type of intelligence, you will be rewarded only if you are tops." Most actors starve. Few athletes make it to the big time. Not one dancer in a thousand makes a good living. There are exceptions: Surgeons use this same type of intelligence, and they are handsomely rewarded.

It is hard for some people to accept the idea that the use of the body can be a form of intelligence. Since René Descartes separated the mind and the body in his explanation of human nature, we have tended to think of the mind as noble and the body as base. We have looked up to people who use their brains and down on those who use their hands to make a living. True, there have been exceptions like surgeons, concert pianists, etc.—but we do usually restrict our notion of intelligence to the linguistic and logical-mathematical types. It is hard for us to include bodily-kinesthetic in the same field of intelligence as the others. This may account for the rather poor development of this capacity in so many Americans today.

Somehow we came up with the idea that our bodies got us into trouble and our minds saved us. We concluded, falsely, that problems are solved exclusively through the use of language, logic, or some other abstract symbol system. In truth, all cultural roles and transactions call on all seven intelligences. Walter Cronkite became the trusted uncle of the United States news services not purely because he could read, write, and speak well. It was his bodily-kinesthetic intelligence that showed through in the way he moved his head and arms. It was the gentle smile that put crows' feet on the side of his sincere-looking eyes. It was the toss of his head and the way he sat and held his body as he talked with us that made us want to believe every word he said. More than half of human communication is nonverbal, and most nonverbal communication calls on bodily-kinesthetic intelligence. Provident principals are aware of the importance of this capacity in themselves, their teachers, and their students. I have always been amazed that we spend so little time in school or at home developing our spatial, musical, and bodily-kinesthetic intellectual capacities.

The dancer, the actor, and the athlete all use their bodily intelligence. The early cave drawings depict hunting first and dancing second. Our early ancestors (blessed with illiteracy) were forced to use their bodies both for goal-directed operations and for many expressive and ceremonial purposes. Many of the emotional stresses that we now talk out with our therapists were exorcised in the cave through the dance. But dance may be coming back. Visit any one of the many spas that have proliferated, and you will see a large group of yuppies doing the 6 p.m. aerobic dance routine. The goal-directed part is wellness and conditioning, but closer examination will detect all types of stylistic expressiveness. There are even some overtones of a courting dance. The yuppies in their dance have shut down the linguistic, logical-mathematical activities with which they worked all day. Now they are using their five other intelligences. The musical, spatial, and bodily-kinesthetic are obvious, but there is much intra- and interpersonal intelligence being used as well.

"If you can dream it, you can do it," says Walt Disney. He was partly correct in this statement. First, you have to have a vision, and

then you have to be able to communicate it. The provident principal cannot evoke a vision in himself or herself without the use of bodily-kinesthetic intelligence. More important, the provident principal—like any leader—must use a developed bodily-kinesthetic intelligence in the service of that vision. A vision cannot be communicated effectively without the support of bodily-kinesthetic intelligence.

The provident principal must be able to relate a compelling image of a desired state of affairs. It must be the kind of image that induces enthusiasm and commitment in others. How does the principal capture the imaginations of his staff, teachers, students, parents, etc.? How does he or she communicate a vision? How do you get people aligned behind the group's overarching goals? How do you get an audience to recognize and accept an idea? The management of meaning and the mastery of communication are essential parts in implementing the vision.

Good leaders use models, metaphors, analogies, examples, jokes, stories, noises, and just about anything to get their vision across. In all this they call on their bodily-kinesthetic intelligence. There is much overlap in the use of the seven intelligences.

A good leader—a provident principal—defines reality for others. Since all groups depend on shared meanings, the provident principal is called on to define and articulate what before was implicit or unsaid. The principal often must challenge prevailing wisdom. An essential factor in the leadership of the provident principal is his or her capacity to influence and organize meaning for the members of the school community. The style and means that principals use to convey and shape meaning vary with the principal, but we know that the most successful ones use all seven intelligences. Not the least of these is bodily-kinesthetic.

Trust is the lubrication that makes it possible for a group to function together. Trust implies accountability, predictability, and reliability. Trust of a leader is what brings a group together and keeps it together. Martin Luther King's human rights movement was fueled by his persistence. He just would not quit. Only an assassin's bullet could stop him in his mission for equality without violence. People trusted him. He was able to get his vision accepted and acted on by

others because he was sincere and his sincerity showed through. Watch the film of his "I have a dream" speech. Here you will see all seven intelligences in operation. The group will follow a leader who has vision and positions himself so that the group knows he won't quit. If vision is the idea, then positioning is the niche the leader establishes—with clarity, constancy, reliability, staying the course. Leadership establishes trust and uses all seven intelligences to gain that trust.

The Personal Intelligences

Sigmund Freud and William James represented different historical movements, different philosophical traditions, and different programs for psychology.

Freud, the pessimistic European intellectual, stressed the development of the individual psyche, its battles within the person's immediate family, the struggle for independence, and the anxieties and defenses that are such an important part of the human condition. For Freud the key to health was self-knowledge and a willingness to confront the pains and paradoxes of human existence.

James, the American thinker, agreed with much of Freud's theory, but he chose to stress the more positive, optimistic side of human nature. He stressed the importance of relationships with other individuals as a means of gaining ends, of effecting progress, and of knowing oneself. His idea: "A man has as many social selves as there are individuals who carry an image of him around in their minds."

It isn't a question of who was right, Freud or James. As in most cases, it is a matter of "both and" rather than "either or." It appears that we have two personal intelligences: one intrapersonal (Freud) and the other interpersonal (James). Personal intelligences include knowledge of self and others. In your own experience you know that these two intelligences are closely related. Our knowledge of ourself depends on our knowledge of others; likewise, our knowledge of others depends greatly on our knowledge of ourself. Yet you know

people who seem to have developed their knowledge of others much more than their self-knowledge. They seem to be oblivious of their own inner thoughts, feelings, and motivations. You know other people who have developed their self-knowledge to a great extent but seem naive about other people. These two personal intelligences are closely related, but they are distinct enough to be thought of as two different intellectual capacities.

As a principal, you may have some difficulty thinking about these personal intelligences in the same way you thought about the previous five. As an educational leader, you can see why linguistics, logic and math, music, spatial, and (to a lesser degree) bodily-kinesthetic capacities are classified as intellectual potentials. It is not so easy to think of the personal intelligences as intellectual capacities. Among the many reasons for this difficulty is the fact that our personal intelligences are culturally influenced. Our personal intelligences develop precisely through the assimilation of our cultural symbol system. Russian jokes are quite different from American jokes. The Russians laugh at a story that goes like this: A group of young workers are called into the party leader's office and told that they will be laid off from their jobs—for the good of the Communist party. Next they are told that they will receive no more food allotments—for the good of the party. Finally, they are told that they will be hung—for the good of the party. One of the group clears his throat and ask apologetically, "Should we bring our own ropes?" This story is funny only in a country where the element of protest is muted and submission is stressed. Americans laugh at the Russian in the TV commercial who has fled to this country and is rejoicing about the good beer and freedom. He says, "In America you get a six-pack of beer and go and find a party. In Russia if you have a six-pack, the party comes and finds you."

In some ways, the personal intelligences are as basic and biological as the five other intellectual competencies. Their origins can be discerned—for the intrapersonal form, in the directly experienced feelings of the individual; for interpersonal intelligence, in the direct perception of other significant individuals. Having a sense of self is an emerging capacity—it takes place through the evolution

of intrapersonal knowledge. But this evolution must occur in a specific culture. Every society offers at least a tacit sense of a person as a self, rooted in the individual's own personal knowledge and feelings. However, this sense of self is inevitably mediated by the person's relationships with others—individuals and groups. As you can see in the jokes, the Russian's sense of self may be dwarfed by his sense of being a member of a collectivity (the state). His sense of belonging is strong, but his sense of powerlessness to change things is stronger. The American may have developed an inflated sense of self with strong "superman" overtones and a dwarfed sense of community. Without getting into an argument about politics or religion, we might reflect on the need to develop both personal intelligences in such a way that they stay close together. We are doomed or blessed (take your choice) by having to relate to self and society. "No man is an island." In your school, you try to help the students develop both their intrapersonal and interpersonal intelligences.

The provident principal's vision depends on his or her personal intelligences. We can't have a vision of ourself or communicate one to others without calling on these two personal intelligences. Team members who work together toward superordinate goals do so because their personal vision and the group's vision are compatible. The provident principal creates and communicates this overarching vision without which nothing happens. The personal forms of intelligence reflect a set of powerful and compelling constraints on any vision. The existence of one's own person, the existence of other persons, the culture's presentations and interpretations of selves must all be counted.

Interpersonal Intelligence

Interpersonal intelligence is the one that turns outward to the world both animate and inanimate. The core capacity here is the ability to notice and make distinctions among other individuals and in particular among their moods, temperaments, motivations, and intentions. It entails the ability to read the intentions and desires of others when they have them hidden—and to act effectively on this

knowledge. In order to communicate and implement his or her vision, the provident principal must have a developed interpersonal intelligence. Any leader who gets people to pull together in accomplishing common goals is necessarily someone with highly developed interpersonal intelligence. From birth to death, we humans are always striving to learn how to read other people. We live in a social world, and we are all members of various groups and subsocieties. We are trying to be accepted and taken seriously by others. We want so much to love, to be loved, and to feel worthwhile. To accomplish this, we work hard to develop our interpersonal intelligence.

On the other hand, if our intrapersonal intelligence doesn't grow apace, we run the risk of becoming a shallow person who doesn't understand his own emotions, thoughts, values, and motivations. Such people lack the ability to reflect and to enter their own personal space. Many people today are beginning to realize that we need time to meditate, focus ourselves, and learn to center our being. Too many social butterflies are like a cup of water poured into the sand. Actually, our growing interpersonal intelligence waits on the next stage of development of our intrapersonal capacity. We cannot outrun our self-knowledge in the pursuit of knowing others. The intrapersonal intelligence is directed inward as opposed to outward.

Intrapersonal Intelligence

The core capacity at work here is the ability to reach one's own feelings—one's range of affects or emotions—the ability instantly to make subtle discriminations among those feelings and eventually to label them, to wrap them in a symbolic code, to draw on them as a means of understanding and guiding one's own behavior and helping to guide others. In its most fundamental form, intrapersonal intelligence enables us to distinguish a feeling of pleasure from one of pain and, on the basis of such discrimination, to become more involved in or withdrawn from a situation. People with underdeveloped intrapersonal intelligence lack the radar and sonar that they need to get along in this world. Persons with heavy drug or alcohol

dependence often seem to have blunted their own inner weather. One reason why many people continue to be unhappy at work and at home is that they don't know what they really want and they lack both the inter- and intrapersonal intelligences necessary to plumb the depths of themselves and understand others well enough to be able to search for what will bring them fulfillment.

People with highly developed intrapersonal intelligence understand not only their own rich inner lives but also—at a deep level—many of the people with whom they interact. William James and Marcel Proust, the novelist, seemed to have had this skill to a very high degree. When we read their works, we get the feeling that they know us very well. They seem to have walked in our moccasins for more than a mile and they express our feelings more accurately than we can ourselves. Studying great literature, novels, poems, dramas, operas, etc., can greatly help in developing our capacity to know ourselves. The soaps are a pale reflection of the great dramas of the past.

Explicit sex and violence in our entertainment fare are poor substitutes for the delicate probing of human emotions and intentions found in Shakespeare's plays. And modern comedies are not as funny as his. Monday night football doesn't help us to understand human strengths and weaknesses half as well as Dustin Hoffman does in *The Death of a Salesman*.

The provident principal knows that our personal intelligences are information-processing capacities—one directed inward, the other outward. Every human being has these potentials from birth. We are on the threshold of the twenty-first century. I surmise that this new century may be dedicated to the exploration of space both inner and outer in better proportion—high tech balanced by high touch.

So What About the Seven Intelligences and the Vision of the Provident Principal?

Provident principals are people who have already greatly developed their seven intellectual capacities, but they never stop

growing in these areas. If we are correct in our judgment that the principal's main function, as an academic leader, is to reshape organizational practices so that his or her school will be in a position to adapt effectively to psychological changes as they evolve, then the provident principal will have a vision that anticipates and makes ready for future wants. The more the principal develops his or her seven intelligences, the better his or her vision will be. The better the vision, the greater the chance that it will move others to join in and bring it to fulfullment. Our educational endeavor needs provident principals with clear vision and wise judgment.

Discussion Questions for Part 2

(1) "A vision is a target that beckons." Show how the visions of Ghandi, Kennedy, and Martin Luther King actually changed history.

(2) How do you use your linguistic intelligence in forming and transmitting your new vision of the school?

(3) Pick some example of great oratory and illustrate the use of linguistic intelligence in communicating a vision. Churchill is a good example.

(4) Why should a provident principal take time to help his or her early adopters improve their communication skills?

(5) Why are provident principals paying more attention to writing skills these days?

(6) Why it is still important to cultivate our capacity to memorize certain types of material. Doesn't the computer free us from the need to memorize?

(7) The provident principal needs: foresight, hindsight, a world view, depth perception, peripheral vision, and revision. Explain.

(8) How did the wise principal use *Chariots of Fire* to help communicate his vision? How could you use musical intelligence more widely in the service of your vision?

(9) How did Hitler use music to further his nefarious vision?

(10) Why do we have in the classrooms so many teachers teaching math who love children and hate math? Would we be better off with a few teachers who hate children but love math? That is a joke.

(11) Most provident principals have much better logical-mathematical intelligences than they give themselves credit for. Why is that true?

(12) How can you include more logical-mathematical intelligence in your vision of the school?

(13) How does the process of seeing, saying, and implementing a vision demand reliance on spatial visual intelligence?

(14) Why is spatial intelligence called the "other intelligence."

(15) What did Einstein mean when he said, "Imagination is everything?"

(16) It is the spatial aspect added to the visual aspect that gives the true leader the kind of vision that moves her and her team toward a compelling future. Explain.

(17) Exposure to the arts is a sine qua non for developing spatial intelligence. Explain.

(18) Why have we so badly neglected the development of bodily-kinesthetic intelligence in our culture?

(19) How does Marcel Marceau use his highly developed bodily-kinesthetic intelligence to communicate with an audience?

(20) Michael Jordan and Larry Bird are all-star basketball players who have developed their bodily-kinesthetic intelligences to the highest degree. Explain.

(21) Show how part of Walter Cronkite's success as a communicator depends on his highly developed bodily-kinesthetic intelligence.

(22) What could you do as a principal to increase your own use of bodily-kinesthetic intelligence in communicating your vision?

(23) How are health spas with their aerobic dance classes contributing to the developing of bodily-kinesthetic intelligence?

(24) How could you find ways of using more models, metaphors, analogies, examples, jokes, stories, noises, and gestures as you communicate your vision?

(25) How would bodily-kinesthetic intelligence help you in this area? Remember the difference between a joke book and a comedian: a written speech and an orator are expressions of bodily-kinesthetic intelligence.

(26) What part does trust play in implementing a vision?

(27) Why is it so hard for us to think of our personal intelligences in the same way that we think of our linguistic, logical-mathematical, musical, and spatial intelligences?

(28) Distinguish between inter- and intrapersonal intelligences. How do Freud and James illustrate the difference?

(29) Contrast the Russian sense of the "self and society" with the American counterpart.

(30) If our interpersonal intelligence outstrips in development our intrapersonal intelligence, we can become shallow, callous, unreflective, and even frivolous people. Explain.

(31) Intrapersonal intelligence enables us to be in touch with our inner feelings. Why is this important in our seeing and saying our vision?

(32) Why does Shakespeare seem to be a person with a well-developed inter- and intrapersonal intelligence? What about Tolstoy? Proust? Dickens?

(33) What do Focusing, Centering, and Transcendental Meditation have to do with the development of intrapersonal intelligence?

(34) When our TV fare is heavily weighted in the direction of raw sex and violence, what does this portend concerning the development of our personal intelligences?

(35) How can you as a principal make sure that all seven intelligences will get full attention in our vision?

PART 3.

The Seven Tools of Vision for Principals

Nothing is more central to the problem of education in this country than the capacity of schools and school systems to cope with the complexity, uncertainty, and spastic change that encompasses them. American people are expecting the impossible from their schools, and the professional educators are too often getting pummeled for defects for which they are not responsible. Why do college graduates with low grades often choose to go into teaching? Because they came into college with low grades and mediocre aptitude and were advised to take an easy curriculum in college—education. Why is the collegiate education curriculum so easy? Because many of the students who choose it cannot handle a more demanding one. The more gifted students choose engineering, pre-law, pre-med, or accounting because those professions pay from twice to ten times the salary that teachers receive. Of course, there are exceptions; some lawyers and engineers are rather dull and some teachers are rather brilliant.

There are many other reasons why our elementary and secondary school education is in serious trouble: the disintegration of the family, the flight from the city, the influence of the media, the slipping of all values including discipline and politeness, a certain crass materialism, the economy, etc.

Suppose you wanted to bring education back to a level of excellence. Where would you start? You could start all the way at the top with the Secretary of Education in Washington, or you could start with any five-year-old in kindergarten, or you could start somewhere in the middle. I would start with you, the principals of all the elementary and high schools in this country, and put my money on you as the best possible change masters. Of course, you are desperately limited in every way by lack of money, staff, cooperation,

support, and so on. But it is you who have the most potential for redirecting the schools you lead. You have the ability to translate intention into reality and to sustain it.

There are seven tools without which the provident principal cannot carry out his or her mission:

(1) Delaying gratification,
(2) Responsibility,
(3) Dedication to reality,
(4) Balancing,
(5) Proper use of power and authority,
(6) Love,
(7) Emotional wisdom.

For a school to survive and flourish today, it must be able to cope with complexity, uncertainty, and very rapid change. Because we live in an era of almost constant change, it becomes necessary for schools and all other organizations to be more future-oriented, more concerned with selecting the proper direction. This makes leadership more important today than it used to be. In our not too distant past a school principal sometimes had a fairly easy job. All he or she had to do was manage for maintenance. In those days the relationship between the school and its environment was better understood and much more easily bridged. Today a school principal is forced to lead much more innovatively.

Principals today must pay attention to what is going on in their school. They must determine what part of present events will be important for the school's future. They must set a new direction and be able to concentrate the attention of all stakeholders—teachers, staff, pupils, parents, neighbors, school board, etc., on this direction. How do principals figure out what is important for the future? How do they choose the new direction for the school?

In choosing a new direction, the principal first must have developed a mental image of a possible and desirable future state of the school. This image is called a *vision.* It can be as vague as a dream or as precise as a goal or mission statement. In any case, the principal's vision of the school must be realistic, credible, attractive, and attainable. A vision always refers to a future state, a condition

that does not exist now and never existed before. Here is where the principal provides the all-important bridge from the school's present to its future. This is the principal's main task—it cannot be delegated.

The Provident Principal Knows How to Delay Gratification

In recent years I have taught hundreds of public school principals at the University of North Carolina at Chapel Hill. They are an interesting and inspiring group. One of their many admirable traits is their ability to delay gratification. They can schedule pain and pleasure in their lives in such a way as to enhance the pleasure by meeting and experiencing the pain first and getting it over with. This is the only decent way to live, and I have found principals to be proficient in this delaying of gratification. They are good role models in a world that seems to be dedicated to instant pleasure and pay-later pain. Most of the principals had to make great sacrifices to complete their four-year college degree. Many of them studied for their master's degree at night and on Saturdays after putting in a hard week of teaching and either coaching or moderating extracurricular activities. Too many of them were also forced to moonlight outside of education just to make ends meet. They certainly know how to delay gratification. Many laughed and asked, "When does the pleasure start?"

We will discuss discipline and power in a later section; but it is necessary to mention here that for many children, the teacher and the principal are the first self-disciplined adults they have ever encountered. Many parents do not discipline themselves—they do not delay gratification. They throw bottles and cans out the window of their car. They empty their car ashtrays on the street at a long-lasting traffic light. They don't pay their bills. They play now and pay later or not at all. They make promises they don't keep. Their lives are in disorder and disarray. Small wonder that there are problems when they try to order the lives of their children. For many of these children, the school becomes the first counteractive influence. When a child sees a principal and/or teachers who behave day-in and day-

out with self-discipline, restraint, and dignity—who show that they can order their own lives—the child begins to feel in the deepest part of himself that this is the way to live. Self-disciplined principals who know how to delay gratification often exert great influence on teachers and students.

The provident principal, who is responsible for reshaping the school to meet environmental changes, has to come up with a vision that will bring about the magic of alignment, and he has to build the confidence of his teachers, staff, pupils, and all stakeholders and empower them so that they can pitch in and turn the intention into a reality. This looking into the future with the full knowledge that the future will entail giving up things as they are and that grappling with future uncertainties is painful. To try to help self and others to change is a demanding exercise. Only the provident principal who can delay gratification in the cause of a future good will be able to carry the day—though it often means taking a lot of criticism and pain.

A Sense of Responsibility for the Provident Principal

We know from the work of Bennis and Nanus in their book *Leaders* that a viable organization of any kind needs to do four things. In our case, it is the principal and the school that must do the following:

(1) The provident principal must *create an appropriate and compelling vision* of the school for the future.

(2) The provident principal shows how *the management of meaning translates into the requisite social architecture* that can enable the school to realize its vision.

(3) The provident principal knows how *to position the school correctly in the outside world* and how to design and control relationships with major stakeholders—parents (PTA), citizens, school superintendent, school board, neighbors, suppliers, consultants, etc.

(4) The provident principal is dedicated to *managing himself through learning, and realizes that the school is a group of people united in the never-ending process of learning.*

Self-management or self-discipline is a necessary prerequisite for the provident principal, who not only must solve daily operational problems but also must by definition search for new problems. All principals have to deal with countless difficult operational problems just to keep the school going; but our provident principal is not satisfied with merely keeping the school afloat. He or she wants to make it a great school—one that can meet the future needs of all the stakeholders. So principals need discipline and self-management to help them handle present problems and be ready for future ones. Self-discipline is just another name for the tools the principal needs in order to do his or her job well. Without this discipline the principal is unable to solve present problems and to avoid future ones. It takes great self-discipline to create an appropriate and compelling vision of the future school, to manage meaning and be a social architect, to position the school correctly in its environment, and to continue to listen and learn.

After working with hundreds of principals, I have come to a momentous conclusion—the vast majority of principals are very responsible leaders. Surely, some are better than others, but that was true even of the Apostles. Principals realize that they cannot solve school problems except by solving them. Unfortunately, many principals are satisfied to solve reactively the problems each day brings rather than to be alert to possible future problems and prevent them. To their undying credit, provident principals are *realists.* They know that the longer a problem is ignored, the more painful and difficult the solution. Principals accept Olmstead's Law: "After all is said and done, a lot more is said than done." So they try to solve problems ASAP. There are three kinds of principals: the provident principal, who has a healthy sense of responsibility; the neurotic principal, who has too much sense of responsibility; and the character-disordered principal who hasn't enough.

When neurotic principals talk, they use such language as "I ought to," "I should," "I shouldn't," etc. They project the image

of an inferior person who perceives himself as always falling just short of the mark. They haven't learned the adage "Don't apologize. Your friends don't need it and your enemies won't accept it." Neurotic principals suffer more than they should because they are somewhat guilt-ridden and blame themselves for things over which they have only indirect control.

The principal (rare) who suffers from character disorder talks altogether differently. He or she says, "It wasn't my fault." "The teachers should have known better." "Parents are to blame." "The superintendent always gives me the worst teachers and pupils." Principals with a character disorder shift blame onto others, act as if they themselves had no freedom of choice, see others in need of change rather than themselves. Principals with character disorders have ruined many assistant principals, teachers, staff persons, and pupils. They are not easy to work with or for, and they seldom improve.

Provident principals with a healthy sense of responsibility are truly "response-able." They have the power to distinguish what they are and are not responsible for. They know how to assess and reassess what their responsibilities are in the ever changing course of events. Provident principals are responsible because they are able to carry on continual self-examination. They always strive to see the world and their place in it more realistically. The provident principal with a healthy sense of responsibility suffers painful self-examination and reflection, but in the long run he or she is less pained than either the neurotic principal who is locked inside himself so much that he cannot stop reflecting and examining self or the character-disordered principal who cannot examine himself and must suffer continual failures as a result.

No problem can be solved until someone assumes responsibility for solving it. The provident principal often feels pain as she grapples with a problem, but it is in these conflictual encounters between herself and the outside world that she gets to know herself more deeply. When a person stops trying to solve problems, she ceases to grow psychologically and spiritually. A provident principal may suffer a good deal of constructive anxiety and pain, but she grows from

it and inspires others who are watching. The provident principal avoids the widespread sense of helplessness—the feeling (and the fear) of being unable to cope and to change things. Many people feel impotent because they want to escape the pain of freedom. The responsible person may solve the problem incorrectly, poorly, inappropriately—but he or she does not run away from the responsibility. The provident principal does not believe Dochter's Dictum: "Somewhere, right now, there's a committee deciding your future; only you weren't invited." Provident principals are disciplined in the sense that they take responsibility for self and others who depend on them. And so they can create an appropriate vision of the future. They can manage meaning and act as a social architect, position the school, and keep themselves and their stakeholders continually learning. Responsible people never stop learning.

The Provident Principal Is Dedicated to Reality

Delaying gratification and taking responsibility are the first two steps in gaining the self-discipline that every provident principal needs. The third step is dedication to the truth. How obvious can you get? We all know that truth is reality and reality is truth. Or do we? It is safe to say that the more clearly a principal sees the world, the better equipped she or he will be to deal constructively with it. The more a principal's mind is clouded with falsehood, misperception, and illusions, the less able he or she will be to create a vision, communicate it meaningfully to others, position the school in the right direction, and lead a group of people who learn through corrective experiences. The more clearly the principal reads the past and present, the more accurately she will create a vision of the future.

In his powerful book *The Road Less Traveled,* Scott Peck tells us, "Our view of reality is like a map with which to negotiate the terrain of life." The provident principal knows that if his map is true and accurate, he will know where he is. If he has decided where he wants to go, he will generally know how to get there. Remember when Alice in Wonderland asked the Cheshire Cat which way she

should go, he answered, "It all depends on where you want to get." Since Alice didn't care where she got, the Cat wisely told her that in her case it didn't make any difference which way she went. The provident principal knows where she wants to get. When I try to figure out why some principals are more successful than others, I am tempted to think in terms of charisma, time management, training at a prestigious university, or some other equally tangential reason. When I think more deeply, I conclude that the more successful principals are persistent—they never quit. They have more self-knowledge. They are more willing to take calculated risks (they can fail gracefully and get up again). They have the three big Cs: Commitment, Consistency, and Challenge. But above all, the most successful principals are continually remaking their maps. They learn from books, from other people, from experience. All provident principals are especially good at learning from experience. They have mentors who have helped them. They are always asking "what if" questions of themselves and others. They see themselves even in their fifties, sixties, and seventies as stretching, growing, learning, and breaking new ground. If you have a minute, they will tell you about their latest idea for improving the learning climate in the school. They know how to learn continually themselves—but more important, they know how to get the school community to buy into learning continually. They are conspicuous for their ability to:

(1) Respond to the future,
(2) Reach out for and share uncertainty,
(3) See errors as stepping stones rather than stumbling blocks,
(4) Become more and more adept at interpersonal relations and communication,
(5) Constantly seek means of gaining in self-knowledge.

When we speak of a dedication to reality, we think of a provident principal who is not afraid to continually revise her map of reality. Since the world is constantly changing, we cannot continue to use a map that was devised for an earlier time. Suppose you had a picture of Manhattan taken from an airplane in 1946. Could you use it to identify the streets and buildings as they now exist? No, there were no World Trade Towers at that time. And no Trump Towers. Many

buildings in the picture have been demolished and new ones put up in their places. Likewise, we have to make new photographs of our world regularly or we tumble into a fallacy called transference: the outdated map. Transference is a technical term used by Sigmund Freud in elucidating his psychoanalytic theory. It illustrates the habit many neurotics have of responding inappropriately in present relationships because they are looking at the world as it was, not as it is. Transference is that set of habits of perceiving and responding to the world that developed in our childhood and was most appropriate at that time and place but is inappropriate as transferred into our adult world.

In a strange way, the culture of a school includes many assumptions, values, even prejudices. When the world around the school changes, that culture, like an outdated photograph, sometimes interferes with the school's ability to see the world as it is and to change and meet the newer demands being made on it. The provident principal is courageous enough not only to revise his or her own map but also to help the whole school community do the same. We know that the process of making revisions, particularly major revisions, in our map is often excruciatingly painful. Organizations like schools or school systems often go through great pain as they make the necessary revisions in their maps. The provident principal is a social architect who has been willing to make his or her own personal revisions and now will take responsibility for delaying gratification and helping the school community make the necessary revisions without which the school ceases to be viable. Since revising our personal maps or our school's culture is so painful, we often simply ignore new information that should be integrated into our maps. We sometimes get on our high horses and denounce the new information as dangerous, heretical, or the work of Satan. How often do we play ostrich by putting our heads deep into the sand, convinced that what we don't see can't hurt us. Transference and playing ostrich may reduce pain for a short time, but in the long run they increase it.

The provident principal is totally dedicated to the truth. He or she lives a life of continuous and never ending self-examination. We know our world only through our relationships with it. We must con-

tinuously examine our world, but we must examine ourselves just as often and just as carefully. The provident principal lives a life of contemplation combined with action. In studying principals, I have found that one of their weaknesses is in this area of contemplation. Pushed and shoved as they are by the demands of their profession, they have a tendency to jump on their horses and ride off in all four directions at the same time instead of taking more time to contemplate.

The provident principal knows that the sources of danger to the world lie more within us than outside. She realizes that her dedication to truth and reality based on continuous learning, self-examination, and contemplation is essential for personal and societal survival. It is painful to constantly revise our maps; but the responsible provident principal who is capable of delaying gratification does just that.

I guess the sure sign that a principal has the qualities of a provident principal is his or her willingness to be challenged. The only way a person can be sure that his or her map of reality is valid is to expose it to the criticism, both positive and negative, of other mapmakers. Provident principals who create and communicate a vision of their school of the future are showing their willingness to be challenged. Challenged they will be—but they will also grow, learn, thrive, and make a difference.

The Provident Principal Leads in a Balanced Manner

Following the lead of Scott Peck, we assume that the provident principal is a balanced professional. This trait of balancing insures that the principal doesn't go overboard even in the necessary tools of discipline. Too much delay of gratification, and we have a masochistic person who seems to like pain for itself. Who wants a principal who can't play and have fun and enjoy pleasures? Too much sense of responsibility, and we get a neurotic principal. Too little, and we get our character-disordered principal. Too much dedication

to the truth, and we get a principal who cannot suppress truths even when that would be the kindest and best thing to do. Or we get a principal who is such a literalist that she cannot even use a metaphor. How dull.

Courageous principals must work to be completely honest yet must be able to withhold all or part of the truth when appropriate. Balancing is the quality that gives the principal the freedom to discipline even discipline itself. It keeps us from going overboard even on virtue. In other words, discipline has to be disciplined. Master teachers have the great knack of knowing exactly when and how much to ease up and let a joke bubble forth. They know when a pupil's funny remark deserves the class time to be enjoyed. A minute later the master teacher has the class back on track and going at the pace and rhythm it should. Provident principals have this skill of balancing to a high degree.

Balancing is the discipline that gives the principal flexibility. Take the example of anger. A provident principal is not one who blows up constantly, but neither is he or she afraid to show anger when it is appropriate. In the difficult role of leader, the principal must be able to express his or her anger at times—and equally able to suppress it at times. Handling our anger, our fear, or any other powerful emotion adequately and competently is difficult. The principal needs to develop an elaborate, flexible response system to accomplish this task. Younger principals often are upset by their lack of expertise in this area. For most of us, it takes many years of reflection and contemplation before we know ourselves well enough to realize when we are in control and when we are on the verge of losing control. A flexible response system is seldom in place before our mid-life transition, and even then it seems to go off track now and again. It is difficult to be a principal or leader of any kind before we reach our middle thirties. The provident principal is caught almost daily between his or her own conflicting needs, goals, desires, responsibilities, and directions and the conflicting needs of all the school's stakeholders: teachers, staff, pupils, parents, neighbors, school supervisors, school board, etc. All have conflicting demands on the school and on the principal.

How does the principal carry out this delicate balancing act? Carefully. Many teachers don't want to be principals precisely because of this difficult task of balancing everyone's needs and desires. Healy's Law of Distance states, "The Promised Land always looks better from a distance." Most principals will candidly admit that they knew much more about how to be the perfect principal when they were teachers than they do now that they are in the hot seat. A teacher I met in Tennessee said he became a principal in his first year teaching at a school in the mountains because nobody else wanted the job. In that school system apparently the principalship went to the person with the least seniority. Granted that that is a rare setup, there are many teachers who would never want to take on the role of principal. Being principal hurts too much.

The essence of the discipline of balancing is "giving up." It is very painful to give up parts of oneself, but every emotionally mature person arrived at that place precisely through a long series of "giving up" experiences. Giving up is not quitting. In fact, it is the opposite of quitting. Most people who quit half-way on life's journey do so because they fear the pain that most certainly would be demanded of them if they should continue to grow. It is terribly painful to give up personality traits, well-established patterns of behavior, ideologies, lifestyles, some dreams, and pet likes and dislikes. As we grow, we go through some experiences rather like being pulled through a knothole. We seem to die to the "old self" before a "new self" appears, and the experience is always harrowing. Principals are called on to do this more than teachers. Parents are called on to do this more than nonparents. Married people are called on to do this more than single people; leaders more than followers. Provident principals are called on to give up their desires to be an infant and let others take over. They quickly learn that they must give up their fantasy of omnipotence; they have a crowd telling them daily how impotent they really are. They give up the freedom to be carefree and footloose; they have a lot of people leaning on them for support. They give up their desire to be loved by everyone at all times. They are forever acting the judge in settling disputes; the losers get angry at them. They give up many evenings; there is always one more meeting. They

give up time with their families; there are so many families that need just five minutes of their time. They give up their sense of immortality as they mourn their own parents' passing. They watch the agility of youth slip away; the teachers seem to be getting younger and younger every year. They give up vacation time because there is no one else to mind the store.

The provident principal becomes a lovable and admirable leader precisely the way the Velveteen Rabbit did. Balancing really demands that we forget ourselves at times and give ourselves over to the needs of others. It is painful—but when you come down to it, it is ennobling. It makes a difference. It is a good way to spend one's life.

The Provident Principal Makes Proper Use of Power and Authority

The trouble with many schools that are less than effective is that they tend to be overmanaged or overcontrolled and underled. Some principals may excel in handling the daily routine yet never question whether the routine should be done at all. There is a great difference between management and leadership. Both are important. "To manage" means "to bring about, to accomplish, to have charge of or responsibility for, to conduct." "To lead" is to influence—to guide in direction, course, action, opinion. Managers are people who do things right. Provident principals are people who do the right things. The difference may be summarized as activities of vision and judgment: effectiveness versus activities of mastering routines—efficiency.

What differentiates a provident principal from an ordinary "managing principal" is the way the principal uses his or her authority and power. The provident principal is self-disciplined and can influence others to become disciples.

It is interesting to note that the provident principal seldom uses punishment even when a teacher, staff member, or pupil does something that is inappropriate and disruptive of the school's goals. Not that the provident principal isn't aware of the transgression or doesn't take time to explain to the culprit that his or her behavior was

out of place. The principal simply uses her power and authority more subtly and constructively. She knows that injured feelings can be much more lastingly hurtful than physical pain. The provident principal always has a quote from Shakespeare in the forefront of her mind: "They that have power to hurt and will do none, they rightly do inherit heaven's graces." And among those graces is being loved and respected by the teachers, staff, pupils, and parents. Just as we know that the best way to teach a child discipline is to instill it rather than to try to impose it, so the provident principal tries to instill the values, goals, and attitudes that are a part of his or her vision for the school in the stakeholders—the people without whom the vision can never become a reality.

Power is much misunderstood, and that may account in part for its frequent misuse. "Power corrupts, and absolute power corrupts absolutely." This quote is illustrated daily in our newspapers. Ferdinand Marcos in the Philippines and Baby Doc Duvalier in Haiti were deposed by their own people because they misused the authority and power vested in them. They had *political power* that went unchecked, and they did not develop the *personal power* to counterbalance it. Once someone is named principal of a school, that person has a whole set of political powers. These come from without; and since they are conferred by someone above, they can be removed by someone from above. The superintendent who appoints the principal (with the school board's consent) can, with the board's approval, take away the principal's position, with its political powers. On the other hand, personal power resides entirely within the individual principal, and it has nothing to do with the capacity to coerce others. It was not conferred by someone else, and it cannot be taken away by someone else. People with great personal power may also have political power, but not necessarily. Ralph Nader and Sister Teresa lack formal political power, but they have great personal power to affect the lives of countless people. Ghandi in India was a perfect example of a poor man with no political power to coerce who through his personal power was able to save India from civil war more than once.

The essence of political power is the capacity to coerce others. The essence of personal power is the capacity to make decisions with

maximum awareness. Personal power is self-disciplined consciousness (awareness) that moves people to want to join the leader in his or her enterprise. In our case, the principal with personal power is a leader who tries to instill discipline into the school community so that they can work together to bring their common vision into reality.

The original definition of the word "discipline" refers to an instruction to be imparted to disciples. The principal imparts something to the teachers, staff, pupils, and parents. Now no one can impart what he or she doesn't have, so we assume that the principal has this precious thing that is worth imparting. Whether it is discipline or knowledge, the principal must first have it. The appointment to the position of principal does not confer instant self-discipline, knowledge, and/or wisdom. Acquiring discipline and being a disciple are intimately related.

For many of us, the word "disciple" conjures up pictures from Bible history. We remember the followers of Christ whose one deep wish was to emulate him. They made him their guide not just because they believed in his teachings but because of their love for him and his love for them. Without this mutual love, the Master's teachings and example—convincing though they were—would never have persuaded the disciples to change their lives and beliefs as radically as they did. We see clearly that love and admiration are powerful motives for adopting a person's value and ideas. In the same way, a combination of teaching, example, and mutual love is the strongest bulwark in preventing the disciples from going against what this admired individual stands for, even when they are tempted to do so. After all, this is the essence of the process by which parents instill discipline in their children. It is also the essence of the way provident principals instill in their staff the discipline without which the school cannot meet the problems of the future.

Teaching discipline demands great patience, humor, and self-knowledge on the part of the provident principal. One of the world's great teachers, Goethe, wrote an epigram that illustrates this very point: "Tell me how bear you so comfortably/ The arrogant conduct of maddening youth?/ Had I not once behaved unbearably/ They

would be unbearable in truth." Goethe could write these lines and enjoy their humor because he had achieved great inner security, which made it possible for him to understand with amusement the otherwise "unbearable" behavior of the young. For the provident principal that same inner security gives him or her the courage to continue putting up with the unbearable behavior of some of the "baby boom" staff, teachers, and parents.

The provident principal knows that the staff and teachers are less influenced by what she says to them or tells them to do than they are by who she is as a person and what she actually does. In a great study done in Sweden on teenagers who did or did not get in trouble with the law, we learned a profound truth. In studying the family backgrounds of delinquent and nondelinquent teenagers, the investigators could find only one difference between the two groups—delinquent children came from families in which the parents themselves did not live by the values they taught their children. Nondelinquents came from homes in which the parents lived closely by the values they tried to teach their children. The point seems obvious, but it is often missed: If you teach values that you yourself do not live by, then your disciples will internalize not the values taught but rather the inconsistency between the values and the behavior. This brings us back to our idea that personal power is really self-disciplined consciousness or awareness.

A provident principal is a person who has worked himself out of the sea of ignorance by developing more and more awareness. If we continue to follow the path of lifelong learning and self-searching, some pieces of knowledge begin to fall into place. Gradually things begin to make sense. Finally—after not a little blood, sweat, and tears—we come to a deeper understanding of what our own personal individual existence is all about. We come to a place where we actually begin to know what we are doing. We come to personal power.

Persons with great self-awareness have personal power because they have access to all levels of their self. They know who they are and what they are about. Most of the provident principals I have met seem to reflect a sense of joy and peace. The experience of personal power and a high level of awareness is basically a joyful one.

Self-disciplined and self-aware principals have the necessary qualities to help a school community meet the demands of the future. The more self-awareness and general awareness a principal has, the greater his or her capacity to make wise decisions that take into account all the consequences. Only God has total awareness, so only God can grasp fully the consequences of any decision. On the other hand, mature people in our culture are able to conduct themselves in a self-directed manner and to make decisions with great understanding of their ramifications. Adult development is a progression toward self-determination and personal responsibility for choices and decisions. Provident principals are able to make decisions with greater and greater awareness. They can listen to the voices and signs from without as well as the voices and signs from within. They can be in touch with their unconscious without losing touch with their conscious self. They can bracket themselves and make themselves almost totally responsive and available to others without losing touch with their conscious self. Provident principals make mistakes regularly—but when they do, they acknowledge them and learn from them. They have a high level of self-knowledge and self-awareness that, strangely enough, keeps them from taking themselves too seriously. No wonder they make great leaders. They can create appropriate visions for the future and get others to buy into these visions and help to make them come true.

The Provident Principal Knows the Power of Love

Scott Peck defines love as "the will to extend one's self for the purpose of nurturing one's own or another's spiritual growth." He goes on to explain that when someone extends himself for the noble purpose of nurturing spiritual growth, he becomes more a person. The loving person grows into a larger state of being. He extends himself. The act of loving ourself or another is an act of self-evolution. We cannot love another unless we love ourself, just as we cannot teach our children to be self-disciplined if we are undisciplined ourselves. To love someone means to put ourself out for that

person, to go the extra mile for him. It takes effort. We extend our limits only by exceeding them. Exceeding our limits, stretching ourself, takes effort and often causes some pain. But it can also bring great joy and satisfaction.

Peck defines "will," as he uses it, in this way: "Will is desire of sufficient intensity that it is translated into action." The provident principal need not be a romantic, but he or she must be a lover. Recently I came across a verse that seems to epitomize the kind of love a provident principal has to have in order to get the school community to pull together in the pursuit of a viable vision.

Love is friendship that has caught fire.
It is quiet understanding, mutual confidence, sharing and forgiving.
It is loyalty through good and bad times.
It settles for less than perfection and makes allowances for human weakness.
Love is content with the present, it hopes for the future but doesn't brood over the past.
It's the day-in and day-out chronicle of irritations, problems, compromises, small disappointments, big victories, and working toward common goals.
If you have love in your life, it can make up for a great many things you lack. If you don't have it, no matter what else there is, it's not enough.

Separation anxiety is certainly the earliest and most basic anxiety of man. An infant experiences it when his mother absents herself. Somehow that infant knows that his life depends on his mother's returning. Anything that rekindles this anxiety is experienced as a terrible threat. There is enough of the child in all of us to make us have great fear, anxiety, and discomfort when we feel that we are being left out, left behind, cut off from the group that becomes essential to our survival. Every divorce, no matter how friendly on the surface, unleashes some of this separation anxiety. The anger expressed is often a cover-up for the fear and anxiety. On the positive side, there is a wonderful sense of security in being a part of a com-

munity that is working together and supporting its members. Many young people, in entering cults, are willing to give up their very self-identity in order to experience this feeling of being safe, secure, saved. As a principal, you can observe this separation anxiety in the pupils. As a provident principal, you can be sensitive to the more subtle interplay of love and separation among the staff and teachers. Like it or not, the principal of a school stands symbolically as a parent figure—not just for the pupils but for the whole school community. This can be somewhat overwhelming to a young principal, but it goes with the territory. When the principal extends himself or herself in opposition to the inertia of laziness or the resistance of fear and reaches out to the staff, teachers, and pupils, "that's amore." This moving out in the face of fear, we call courage. This moving out against the inertia of laziness, we call work. It is work or courage directed toward the nurture of our own or another's spiritual growth.

The first and principal form that love takes is attention. When we love another, we give him or her our attention. We attend to his or her growth. We care for that person. In order to attend to another, we have to set aside some of our own preoccupations and worries and actively shift our consciousness. We often have to work against our own mind sets. It can be exhausting at times to give full attention to another when parts of our own self are demanding our limited attention. Much stress arises from our efforts to keep our attention focused.

As principals you know how difficult it is to discipline a child, parent, or teacher, but in implementing your vision you are called on at times to exert strong discipline for the good of the school. It isn't easy.

Why is it so tiring to be a provident principal? Because you spend much of your life acting as an authority figure for scores of staff and teachers and literally hundreds of pupils and their parents. Your love—measured by your ability to extend yourself against the inertia of laziness (work) and to give attention, nurture, and care to hundreds of people—demands great human strength and not a little prayer. At times you would like to banish all of them from your presence, and at times they would all like to run away from school.

The act of love demanded of a provident principal must do more than overcome inertia and laziness. It must overcome fear. When we reach out to another in love (extend ourself), our self enters new and unfamiliar territory. We are called on to change in ways we cannot always foresee. The provident principal must risk the loss of independence, deep commitments, and emotional confrontations. It isn't always easy—in fact, it is often painful. But having love in your heart and in your school makes up for a great many things you suffer and lack.

The Provident Principal Has Emotional Wisdom

When we talk about discipline, we need to realize that no one can be self-disciplined unless he or she feels loved. Without a realization that we are loved and valued, we will lack the motivation to delay gratification, take responsibility, be dedicated to the truth (constantly remake our maps of reality), live a balanced life, use power wisely, and love unselfishly. Ultimately, love is everything. Only a person who feels loved and cherished can deny his immediate wants, desires, and needs for a future goal. Only a person who believes that his or her world is secure and will last can deny himself or herself present pleasures for future goals. Only a principal who has a positive self-regard can be a great leader.

The provident principal with positive self-regard is not a proud, arrogant person who refuses to admit his or her weaknesses. She is more than willing to ask for help and listen to the input of her staff members. Positive self-regard seems to exert its force by creating in others a sense of confidence and high expectations. When the teachers, staff, pupils, and parents feel that the principal is sure of herself, they gain a sense of security. They are willing to make sacrifices in the pursuit of the goal or vision communicated by such a principal. It is the function of the principal to figure out how to motivate the people who make the school community a living, effective agency. When a provident principal with positive self-regard creates an appropriate vision for the future school and communicates

this to her team members, she seems able to marshal the skills possessed by the majority but used by the minority. A provident principal shows the team that leadership is something that can be both learned by anyone and taught to everyone. The provident principal is a leaders' leader who can get stakeholders to use their best talents in the pursuit of a common goal. Without this positive self-regard, one cannot give others the confidence they need. When a provident principal has this positive self-regard, she can get attention through her vision, share meaning through communication, inspire trust by giving a sense of direction, and finally develop self and others through the mutual development of positive self-regard.

Positive self-regard is related to maturity. We generally think of mature people as those who can take responsibility for themselves and others. They are usually people who have gone through sufficient battles to win their spurs. They have cried enough to be able to see themselves and the world more clearly. We can see more clearly through a teardrop than through a telescope. We recognize that provident principals are mature. As we discuss the last tool of vision for the provident principal, we could call it emotional maturity, but instead we will call it *emotional wisdom.* We want to acknowledge that provident principals, though certainly mature, have never lost the positive characteristics of the child. Principals have a very difficult job, and many people make impossible demands on them. It is possible that principals will become burned out and depressed, losing their spontaneity and humor. Actually, provident principals never lose their enthusiasm for people, spontaneity, imagination, and unlimited capacity to learn new behavior. Emotional wisdom reflects itself in the way people relate to others.

Provident principals are understanding and nonjudgmental. I have noticed that the provident principals are able to accept all types of people as they are and not as they would like them to be. They have learned to walk a mile or more in another person's shoes (teacher, parent, staff member, pupil, superintendent, or supervisor), so they can understand that person's position. They can even accept school board members as they are. The emotionally wise principal learns from experience that each person has his or her own map of

reality and no two people see reality exactly the same. The wise principal spends a lot of time trying to understand where the other people are coming from and why they hold the positions they do. Much of what these principals try to do depends on gaining compromises from people who see things differently. In order to communicate a vision, the principal must be able to understand what each of the stakeholders wants and how much he or she is willing to yield in the pursuit of a common vision. How can the provident principal create a new and compelling vision that can bring the school community together en route to a new place unless she really understands and accepts each stakeholder? How can the principal develop commitment for the new vision among these people unless she knows and accepts them as they are? How can the principal's vision become institutionalized unless she can enlist the support of all the school community? How can she do this except through understanding and accepting each stakeholder? The answer, of course, is that only a provident principal who accepts people as they are can accomplish these goals.

Provident principals can approach relationships and problems in terms of the present rather than the past. Not that principals don't learn from experience—they are great at such reflective learning. But once they learn the lesson from the past, they are not tempted to live there. Most neurotic principals are mired down in the emotional aftermath of past events, so that they lose freedom to attend to the present relationships and problems. Transference traps them into using outmoded maps of reality. Provident principals have the emotional wisdom to shake off the past when it is burdensome. "Forgive and forget" seems to be the motto of the provident principals. They use the present as a takeoff point for trying to make fewer mistakes. This is psychologically sound, and it helps the principals to erase the board regularly so they can figure out present problems instead of being fixated on past losses.

Provident principals treat people close to them with the same courtesy and attention they give to strangers and casual acquaintances. My mother had a saying that was full of emotional wisdom. When one of our family members acted less than civilly to

another member, she would look at the offender and say, "You are a street angel and a house devil." She could skewer you through and through with that phrase. It is easy to be polite, courteous, and attentive to strangers but considerably less than that to people close to us. The provident principal knows that each member of the school community looks to the principal for special treatment. Each pupil wants to be the principal's favorite. Each staff member, teacher, and parent expects time and attention from the principal.

We sometimes take for granted those who work or live closest to us. We see and hear from them so much that we begin to lose the ability to listen to what they are really saying. Worse perhaps, we take them so for granted that we are not able to appreciate the quality of the work that they are doing. A while back we said that the provident principal takes full responsibility for motivating the school community. It isn't easy, but it is necessary if the principal's vision is to be communicated, accepted, invested in, and finally institutionalized.

Every member of the school community would like the principal's full, undivided attention. Accordingly, the provident principal tries to avoid three obstacles—personal feelings of friendship that can be interpreted as exclusive, hostility that kills initiative, and indifference (which is worst of all).

There are several damaging aspects to this problem of overfamiliarity (familiarity breeds contempt). First, we may not hear what is being said. How often have we all been accused of not listening? Second, we may hear selectively. We may hear only the things that fit in with our vision or theory and block out the rest—a practice that leads us to misunderstandings, misconceptions, and mistakes. Finally, we may not provide the feedback that proves that we are really attentive.

Provident principals are able to trust others, even if the risk seems great. Principals who communicate their vision to the school community realize that the implementation and institutionalization of the vision can take place only with the cooperation of all the team members. Earlier we said that principals are called on to do great things, often with less than adequate support. Not all teachers are as competent or motivated as they should be. Pupils aren't as prepared

and disciplined as they should be. Staff often leave much to be desired in their efforts to put in a full day's work. So in trusting others, the provident principal knows that the risk is great. It is easy to realize goals and visions with all-American players and the best gym in the world. What takes real leadership is developing a great team from members who have glaring weaknesses in a setting that handicaps rather than helps. Wise principals may sometimes withhold trust when it is necessary for the protection of the school, but this is the exception not the rule. We trust teachers in a classroom with children every day. The provident principal knows how to show trust in a teacher and slowly bring him around to the point that he can live up to that trust. If the principal waits for the superintendent to replace the weak teachers with stronger ones, not much will happen in the school during this millenium. In my experience, provident principals are more trusting and less suspicious than ordinary principals. That means that they are fooled more often by bad things and surprised more often by good things. They don't get bitter when they are fooled, and they rejoice when they are surprised by the personal and professional growth of one of the stakeholders. Provident principals realize that an overdose of trust at times involves the risk of being deceived or disappointed, but this is wiser in the long run than merely assuming that most stakeholders are incompetent and insincere. Provident principals are willing to extend themselves for the purpose of nurturing their own or another's spiritual growth. This can be accomplished only with great trust.

Trust is a two-way street. No stakeholder will trust a principal more than the principal trusts that team member. Just as the principal takes responsibility for the vision and its communication as well as for the motivation of the team members, so the stakeholder is persuaded to trust a principal who appears trustworthy. An organization without trust is like the Tower of Babel construction project. Everyone is running around, but the tower never gets built. The team members are constantly assessing how much trust the principal puts in them. They may not live up 100 per cent to that trust, but they will most certainly never out-produce the level of trust they feel the prin-

cipal has in them. Likewise, each team member is assessing the behavior of the principal and deciding how much trust can be put in him or her.

Trust is the lubricant that makes it possible for the school to function. When the teacher or staff member sees that the principal is accountable, predictable, and reliable, he or she will trust the principal and buy into her vision. Trust is hard to define, but we know when it is present and when it is not. Trust is primarily based on predictability. Woody Allen (one of my favorite philosophers) once said, "In order to be successful, all you have to do is show up 80 per cent of the time." This is a joke, of course, but it makes a point. Provident principals are predictable not only because they show up but also because they steer the ship in the same direction for the most part. It is difficult for a stakeholder to put his energy into a sea voyage when the captain keeps steering the ship in circles or goes off after white whales. When the provident principal creates her vision of the future school and starts to make it a reality, she steers the course toward that reality day-in and day-out. This is "positioning." The principal's positions must be clear. We tend to trust principals when we know where they stand in relation to the school and how they position (direct, steer) the school in relationship with the environment. Vision and position stand in the same relationship to each other as do thought and action or an idea and its enactment. When the stakeholders or team members learn to trust the positioning of the principal, they then are willing to put their backs into raising the anchor and trimming the sails. Then they are willing to help implement the vision. The provident principal enlists all team members into the vision through skillful positioning. This is the basis of the trust that makes an enterprise go.

Provident principals are strong enough to be able to do without constant approval and recognition from others. Put rather more realistically, principals who succeed must develop skin thick enough to withstand a lot of negative criticism, much of it undeserved. They must be able to get along on very little positive feedback even as they continue to position the school into the wind at

the right angle. This toleration of criticism and sniping is probably the most difficult part of the job. Provident principals, like all great leaders, become refined by being tempered in the fire. In line with our discussion of discipline, that means putting up with the pain that is inevitable in order to get the spiritual growth that is desirable. A principal who needs constant approval will never have a vision for the school. He or she will be trying to please the stakeholders. This is an impossible task, and it does nothing for the future of the school. Ideally, it should not matter how many of the stakeholders like the principal. The bottom line is how many cooperate with the principal in getting the vision into position to become a reality. In the real world, however, most principals need to feel some respect, trust, and recognition from the team members. The principal has a lonely job, but the wise principal knows that the quality of the work will suffer if he puts too much emphasis on being a "good guy." Here the provident principal has the strength to do without the approval of the group (at least for a time). Taking risks is a prime part of the principal's job, and risks by their very nature are displeasing to many school people.

This is a real test of the principal's positive self-regard. When you are steering the school into the wind at an angle that is not pleasing to all the crew, you have enough inner strength based on positive self-regard to continue in the face of cold winds. Jacob K. Javits was a senator from New York for twenty-four years. He was a Republican in a Democratic-controlled chamber, a liberal in a generally conservative party. His liberalism, his Jewish faith, and his personality—more arrogant than outgoing—kept him from gaining easy acceptance from his colleagues. He once said, "When I rose to speak in those early days, the whole Senate chamber was absolutely still. Still and cold." When he died recently, most of his colleagues said he was a seminal thinker and one of the greatest senators we ever had. Javits must have had a lot of positive self-regard to be able to continue in the face of the silence and coldness at first heaped on him by his colleagues. Provident principals have such strong characters that they can put up with some temporary unpopularity if they really believe in their dreams and visions.

The Seven Tools of Vision Help the Provident Principal Make the Vision Possible

As we think of the seven tools of vision, we see that they make it possible for the provident principal to create an appropriate vision and to enlist the support of all team members in implementing this vision. In the beginning we noted that the principal is the most obvious change master or change mistress in the school system. We realize that we are asking a lot of the overtaxed principals. But they are the leaders who, with these seven tools of vision, can position their schools on a course that will help America to solve its educational problem. This will help more than any other social change. Principals need the help of each of us. Each of us needs their leadership. No problem can be solved until the individual (all individuals) assumes responsibility for its solution. Most people find it difficult to accept responsibility for their behavior because they want to avoid the pain of the consequences of that behavior. Too many are pushing over their responsibility to some other person so they can escape from freedom. Principals didn't cause the school problem, but they are in the best position to marshal all of us toward the solution of this problem. The provident principal is a risk taker faced with this dilemma:

The Dilemma

To laugh is to risk appearing a fool.
To weep is to risk appearing sentimental.
To reach out for another is to risk involvement.
To expose feelings is to risk rejection.
To place your vision before the stakeholders is to risk ridicule.
To love is to risk not being loved in return.
To go forward in the face of overwhelming odds is to risk failure.

But risks must be taken because the greatest hazard in life is to risk nothing. The person who risks nothing has nothing, is nothing. Such people may avoid suffering and sorrow for a time, but they cannot learn, feel, change, grow, or love. Chained by their certitudes, they are slaves. Only people who take calculated risks are really free.

Provident principals may suffer in taking their calculated risks, but they grow and make us all better for having been with them. That is how I feel about the principals I teach in North Carolina. I am better for having been with them as they shaped and communicated their visions.

Discussion Questions for Part 3

(1) Why is the principal of a school in an excellent position to assess the strengths and weaknesses of education in his or her school system?

(2) Why must the future direction of any school wait upon the vision of its principal?

(3) What is your vision of your school one, three, five, and ten years from now? Just state it in the broadest outline form. For example: size, physical changes, textbooks, curriculum, busing, parent participation, teacher recruitment, teacher supervision and training, pupil health, heating, cooling, teacher-pupil ratio, teacher aides, staff and teacher integration and cooperation, disciplinary problems, field trips, etc.

(4) "In order for a school to survive and flourish in our day, it must have the capacity to cope with complexity, uncertainty, and very rapid change." Discuss.

(5) What are three major social changes that will take place in your county area during the next three years and will have a large impact on your school?

(6) How are you thinking of coping with each of them?

(7) How does a principal go about trying to create an appropriate vision for the future of his or her school?

(8) "A principal's main task is to be a constructive bridge between the present and the future school." Whatever could that mean?

(9) Conjuring up and communicating a vision of the future school is not a task the principal can delegate. Why?

(10) Does that mean, then, that the principal creates his or her appropriate vision independently of other school personnel? If your answer is "nyet," as it should be, how does the principal get others invested even in the formation stages of the vision?

(11) How are the capacity to delay gratification and the process of creating and implementing the vision connected?

(12) What are some weaknesses associated with people who have lived very self-disciplined and gratification-delaying lives?

(13) What do we mean when we say that the principal must be a social architect?

(14) If each school has its own culture, what are some of the ways we can use to grasp and understand this culture?

(15) A new vision leads a school to a changed course that will entail some tailoring of its culture. How does this affect principal, teachers, staff, pupils, parents, superintendent, school board, etc.?

(16) A provident principal is response-able. What does that mean to you?

(17) How does a principal with a healthy sense of responsibility differ from one who has a neurotic sense of responsibility or one who lacks a sense of responsibility, as the character-disordered principal does?

(18) Along with Harry Truman, a provident principal says, "The buck stops here." What does that mean? Isn't that being neurotic and taking all responsibility on oneself?

(19) "Somewhere, right now, there is a committee deciding your future—only you weren't invited." Could you change that to say that a provident principal really believes that she is not only responsible for deciding her own future but also most responsible and instrumental in deciding the future of the school over which she has charge? Explain.

(20) Can a principal with a faulty map of reality who is unable to revise it in order to accept new information create an appropriate vision of the future school? Why not?

(21) Being dedicated to reality means more than not being a liar. Explain.

(22) Provident principals are persistent. The old saying goes, "There is no one with endurance like the man who sells insurance." But principals have to show even more persistence and perseverance. Why?

(23) The most successful principals are those who have the courage to remake their maps of reality constantly. What does that suggest?

(24) Why do provident principals have more tolerance of uncertainty, errors, risks, loose ends, etc.?

(25) When a school changes, it has to revise its map of reality, and this change in vision and direction is reflected in the school's culture as well as in its policies and procedures. Explain.

(26) Provident principals are willing to be challenged. Being challenged is the only way they can make sure they don't block out information and refuse to revise their maps. This doesn't mean that they have to do or not do whatever any "ding-a-ling" tells them to do or not do. But they shouldn't be too quick to call everyone who disagrees with them a crackpot. Explain.

(27) How does a provident principal discipline his or her own discipline and lead a balanced life?

(28) Is there ever a time when a provident principal shows anger? Is showing anger being a balanced person?

(29) How does the provident principal develop a flexible response system so she can cope with the countless demands made on her?

(30) To be balanced, a person needs a lot of experience in "giving up." The provident principal knows what it is to give up parts of the self without compromising on principle. Explain.

(31) What did it cost the Velveteen Rabbit to become a lovable, admirable, and respected rabbit? Can the principal escape with less wear and tear?

(32) Differentiate the principal's political and personal powers.

(33) How do provident principals influence people without using much punishment? Shakespeare had something to say about that.

(34) How are the concept "disciple" and the concept "discipline" related in the work of a school principal?

(35) "Personal power is the capacity to make decisions with maximum awareness." Explain.

(36) If a principal's task is to empower his team members, how

could the principal's efforts to help them raise their level of awareness both inside and outside be used to accomplish this goal?

(37) Every provident principal is a disciplinarian if you understand this to mean empowering others through helping them to be more aware and self-disciplined. Explain.

(38) Self-disciplined and self-aware principals have the "right stuff." They can lead a school community into the future so that the school will be able to cope with the new demands made on it. Explain.

(39) A provident principal can bracket himself or herself and become almost totally available to the needs of others for long periods of time. This is the most tiring part of the job. Explain.

(40) Provident principals have strong "wills," if you understand "will" as Scott Peck does. "Will is desire of sufficient intensity that it translates into action." Explain.

(41) Show how Scott Peck's definition of love defines one of the most important traits of a provident principal.

(42) Since every one of us, even grown-up teachers and staffers, suffers from some residue of "separation anxiety," it is easy to see why the principal is often caught in emotional situations that are perplexing. Many teachers and staff are eager to be considered "favorites" of the principal. Others perhaps set out to be the principal's "unfavorites." How does the principal love in cases like these?

(43) The principal's extending herself in opposition to the inertia of laziness is called "work," and it costs a lot. Explain.

(44) The principal's extending herself in opposition to the fear of involvement and reaching out to teachers, staff, pupils, and parents is called "courage." Explain.

(45) The principal form that the work of love takes is attention. Explain.

(46) How would you define "emotional wisdom?"

(47) How can principals learn to live in the present and stop dragging around freight cars filled with junk from the past?

(48) When is a principal playing the role of "street angel, house devil?"

(49) How does a provident principal balance over- and under-familiarity with the school community?

(50) What is this positive self-regard, and how do we get it and keep it?

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